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ABSTRACT

This Systems and Procedures Exchange Center (SPEC) kit draws on materials related to preservation activities that have evolved over the past six years. In addition, information obtained from 97 Association of Research Libraries (ARL) member libraries that responded to a 1984/85 pilot preservation survey conducted by the ARL Microform Project, as well as from eight ARL libraries that have recently begun or expanded preservation programs, is incorporated in a concise summary of the development of comprehensive program statements, decision-making and setting priorities, brittle books programs, and trends and needs in preservation programs. The Guidelines for Minimum Preservation Efforts in ARL Libraries are then presented, followed by original documents on the following topics: (1) Preservation Policies and Priorities (the University of Cincinnati, Emory University, Columbia University, the National Library of Medicine, and Northwestern University); (2) Decision Making (the University of Wisconsin, the University of California at Berkeley, the University of Washington, the University of Michigan, Johns Hopkins University, the Library of Congress, Yale University, Ohio State University, and the University of Connecticut); and (3) Brittle Books Programs (the University of California at Berkeley, Stanford University, the Library of Congress, the University of Michigan, and the University of Pittsburgh). A seven-item bibliography and SPEC kit order and evaluation forms are also provided. (KM)

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PRESERVATION GUIDELINES IN ARL LIBRARIES

There has been a steady increase in the availability of useful preservation guidelines, policies, and procedures since SPEC Kit #70, *Basic Preservation Procedures*, was published in 1981. Over the past six years, preservation activities in ARL libraries have become more widespread and formalized. As institutions have tested and shared documentation, it has been adapted and refined. In a few cases, published model guidelines result. For example, administrative decision-making guidelines for preservation microfilming tested by several libraries will be issued by the American Library Association in late 1987.

This Kit completely updates the 1981 version, drawing upon materials that have evolved over the past six years. The Flyer also is based upon the responses of 97 ARL libraries to a 1984/85 pilot preservation survey conducted by the ARL Microform Project. In addition, in Spring 1987 the researcher contacted eight ARL libraries that have recently begun or expanded preservation programs.

COMPREHENSIVE PROGRAM STATEMENTS. The importance of a comprehensive preservation program statement is underscored by ARL's Guidelines for Minimum Preservation Efforts. While specific elements of individual guidelines are diverse, a comprehensive program statement includes library goals and objectives and descriptions of current and prospective library preservation activities. Such a statement explores levels of support for preservation programs and provides an overall context for decision making and setting priorities. So far, only a few libraries have developed comprehensive collection preservation statements defining preservation policies for each discipline or subject field.

DECISION MAKING AND SETTING PRIORITIES. Whether or not preservation and collection development functions are organizationally integrated, collection development personnel play a role in deciding what to preserve. Because such decisions require knowledge of preservation techniques, libraries often provide training geared for collection development personnel. In many cases, libraries have developed procedures to help staff understand available treatment options and to provide the context for making appropriate decisions regarding repair, rebinding, and reformatting.

Libraries also are facing the intellectual problems of determining what should be preserved and what should be allowed to deteriorate. Since not all items in the collection can or should be preserved, libraries are developing guidelines for establishing priorities, identifying endangered materials, and selecting materials for treatment. The prevalent approach for identifying damaged materials is via the circulation process, with only a few libraries initiating more systematic reviews of their collections. There is considerable consensus on selection criteria, which generally include the physical condition, physical value, probable use, and importance of the material to the collection.

There has been significant progress on exploring and developing strategies for setting preservation priorities. A number of libraries participating in the OMS Preservation Planning Program focused on determining preservation priorities for the collection as a whole. The Research Libraries Group Task Force on Selection has analyzed selection priorities and procedures in RLG libraries, and RLG is developing a methodology by which priorities for cooperative preservation projects will be set within the consortium. Other ARL libraries have explored ways to establish preservation priorities as part of institutional planning efforts.

From these diverse efforts, at least three basic approaches have emerged. A promising national-level strategy links collection strengths to preservation priorities, using the Conspectus as the decision-making tool. The Conspectus, an instrument for developing a North American inventory of research collections, provides an analytical framework and standardized methodology for mapping collections. In contrast to this collection-based approach, a second strategy focuses on heavily used portions of individual library collections. Priorities are determined on the basis of use as revealed by circulation history and projected future demand. A third approach centers on the condition of materials.

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Building on the realization that some materials require immediate attention while others can wait, this approach links preservation priorities to the life expectancy of the materials.

BRITTLE BOOKS PROGRAMS. Preservation of content or information is playing a crucial role in preservation programs, and there are a number of detailed procedures for brittle books programs. As has become obvious through a series of systematic collection condition surveys, a significant portion — typically 25 percent — of research collections is already embrittled. Moreover, a high percentage of books in those collections is printed on acid-based paper and will eventually become brittle. Some libraries are strengthening their efforts to identify brittle books and to reproduce their content through preservation microfilming.

On the national level, several organizations are focusing on coordinated strategies for addressing the brittle books problem. Key roles are being played by ARL, the Council on Library Resources, the Library of Congress, and the National Endowment for the Humanities. Building on these diverse efforts, the newly established Commission on Preservation and Access is at work developing an organizational structure to support libraries and to promote a funding plan. As a national program evolves and as funding becomes available, the number of brittle books programs in libraries will increase.

TRENDS AND NEEDS. While the passage of time has brought the scope and extent of preservation problems into sharper focus, it has also underscored the high costs of preservation programs. The preliminary analysis of statistics from the 1984/85 ARL preservation survey shows that the 97 responding libraries spent approximately 39 million dollars for preservation in the fiscal year ending June 30, 1985. Given the economic conditions of research libraries, preservation needs far outstrip libraries' financial capacities. Fund raising is playing an increasingly critical role as libraries seek to develop multiple sources of financial support and to obtain external funding from foundations, corporations, and federal agencies.

Another important result of the increased knowledge about the need for preservation action and the economic constraints is renewed emphasis on cooperative programs. Areas for collective action include preservation microfilming, conservation services, and mass deacidification treatment. Over the past years funding prospects for cooperative efforts have improved, and several new regional and statewide programs have been established. Frequently, cooperative programs address education and training needs as a first step toward implementing coordinated preservation programs. The increased attention on preservation education in turn has resulted in a substantial increase in the number of trained preservation staff. At the same time, the demand for preservation specialists exceeds the number of trained professionals, and the need for preservation administrators remains a critical problem.

Finally, technology continues to be a driving force in addressing preservation problems. Beyond the currently available technology of preservation microfilming lies the rapidly evolving field of optical discs. Equally important is the potential impact of chemical technology that could allow the deacidification of books on a large scale. On another front, technological advances in automated systems provide opportunities to include preservation information in local online catalogs and bibliographic databases. The use of these systems not only improves access to already existing preservation microfilm masters but also allows identification of materials targeted for future treatment. The development of this automated support will strengthen institutional programs and facilitate cooperative preservation efforts.

The SPEC Kit on Preservation Guidelines in ARL Libraries (#137, September 1987) contains the ARL Preservation Guidelines, five preservation policies, one preservation priority statement, twelve documents related to decision-making, five descriptions of brittle book programs, and a selected reading list. (110 pages)

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USES OF SPEC KITS

The Systems and Procedures Exchange Center (SPEC) is a clearinghouse operated by the Association of Research Libraries, Office of Management Studies that provides a central source of timely information and materials on the management and operations of large academic and research libraries. It facilitates the exchange of knowledge and documents through SPEC Kits, which are distributed ten times each year to ARL members and other interested libraries. The Kits include topically-arranged groupings of unedited primary source documents – selected for their value to administrators and decision-makers – that illustrate a wide range of alternative approaches to specific issues.

Kit documents come from general membership surveys and from selected libraries contacted directly by SPEC, and most Kits are produced within six months of surveys. The documents' value comes from their variety of ideas, methods, and solutions. They are not viewed as finished products, but rather as points of departure for a library's planning efforts and as stimulants to innovative approaches to problem-solving. As such, Kits do not present answers or prescriptions for any one library; instead they illustrate how selected ARL members are planning for or dealing with particular issues. The worth of any one Kit to a particular library will depend upon the specific topic covered and the library's stage of development in that area.

Materials are selected according to the following criteria:

- Presents an approach of potential value to administrators and decision-makers
- Timely, and dealing directly with the topic under consideration
- Probability of application of ideas or thinking to other library situations
- Illustrative of actual practice, rather than theoretical
- Understandable, readable communication

All together, the materials should provide a range of alternative approaches that complement each other, provide variety, and stimulate comparison and contrast.

Libraries can take advantage of the Kit compilations in a number of ways. Administrators can evaluate the assumptions, methods, and results of other libraries' approaches; compare and contrast them; and use the learnings in their own situations. Library staff members can use the kits as professional development and current awareness tools. Committees and task forces can use them to begin a review of current practices. And the Kits can identify other persons or places to contact for further information. Back-up files in the SPEC office also are available for loan to member libraries. In addition, SPEC will conduct on-demand surveys or analyses geared specifically for a single library.

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GUIDELINES FOR MINIMUM PRESERVATION EFFORTS IN ARL LIBRARIES

[Approved by the ARL Membership on October 25, 1984*]

Since physical deterioration of research library collections is a well known matter of particular concern, ARL has adopted as its third principal objective in its 1983 five year plan: "To increase the number of member libraries engaged in programs to preserve their collections." That document acknowledges that individual research libraries bear responsibility for preserving their collections as part of the collective resources of the research libraries of North America. ARL efforts to achieve this objective will be aimed at helping libraries meet this local responsibility. ARL should provide leadership and, to assist in this important task, guidelines are needed to suggest an appropriate minimum preservation effort that each research library should seek to attain.

"Preservation" is here meant to be broadly inclusive of efforts to maintain collections that are intended for use by future generations. This obligation of our present generation needs to be expressed in a set of activities that provides appropriate protection and some assurance of the continued availability of those materials that are now in, or are being added to, research library collections.

"Minimum" is here used to mean a desirable and presumably practical level of moderate strength to which all ARL libraries should aspire in the course of this decade. Once attained, it is a level which should be able to be maintained over the long term. It is well below an optimum level, and indeed it is far below what the more ambitious libraries with good financial support can attain. It is hoped that this minimum level is one which by 1988 at least half of the ARL membership could attain or exceed; and by the end of this decade all ARL libraries could have attained or exceeded.

The elements of a minimum effort are diverse. There are few activities in a research library that do not in one fashion or another affect the longevity of materials. A comprehensive preservation effort certainly includes attention to the atmospheric environment in which the materials are housed and used. It could include the training methods used for staff handling of materials, the photocopy operations, the acid content of bookplates, the quality of bookstack shelving, the ultraviolet filtration of fluorescent tubes, and even the very nature of the materials that are selected for addition to the collections. (See Attachment 1 for an attempted statement of responsibility by one organization.)

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* The ARL membership voted to approve the Guidelines with the understanding that further clarification would be forthcoming on the gathering and reporting of preservation statistics. With the assistance of the Committee on ARL Statistics, the ARL Committee on Preservation of Research Library Materials has revised the statistics portion of the Guidelines and, based on this revision, has prepared and distributed an experimental 1984/85 ARL Preservation Statistics Questionnaire.

Recognizing that there is an almost infinite set of conditions that could be included in guidelines for minimum preservation efforts, ARL has chosen five aspects that seem possible of attainment by its membership. Taken together they should constitute a good base of minimum effort.

1) Local program statement: Every library should have a document defining its preservation goals and objectives together with a statement of current and prospective preservation activities. Such a document should at the least include a description of the various preservation program elements that currently exist in the library and should outline those that it will seek to provide within a short period of years. The document would not detail the specifics of the program. Rather it constitutes a general program statement that would convey to its staff, organizational officers and trustees, and to other ARL members a clear sense of the content of the program, the direction that is intended by the library administration, and the strength and emphasis with which it is to be pursued.

2) Statistics: There should be compiled regularly a set of statistics that will document the annual preservation activity and present over a period of time a picture of the change in activity. Such data at the least should include:

- FTE staff assigned to the preservation activity;
- preservation expenditures;
- proportion of preservation expenditures coming from regular library budget;
- number of items given full conservation treatment, given routine conservation treatment, and given protective enclosures;
- number of volumes given contract binding;
- number of volumes given mass deacidification;
- number of reels of preservation microfilms and sheets of preservation microfiche produced;
- number of reels of preservation microfilms and sheets of preservation microfiche held.

(Comment: Only some preservation activities are amenable to statistics collection. Exactly which statistics can and should be collected is not yet known. The statistics listed above appear on the experimental 1984/85 ARL Preservation Statistics Questionnaire, mailed to ARL libraries on June 28, 1985. Based on the outcome of this test, ARL may revise future versions of these Guidelines.)

3) National participation: All current efforts to film or otherwise copy for preservation purposes should be part of a coordinated national effort and consequently there should be three correlative activities. First, before making a decision to film, a careful search must be made for an existing archival master negative that can be copied. Second, there should be adherence to archival standards in the production, storage, and use of master microfilm negatives whenever they are made. And third, the

records for those master microfilm negatives should be contributed to the National Union Catalog or the comparable listing of newspapers, and/or should be contributed to at least one major bibliographic utility in order to ensure online availability of bibliographic records for preservation copies of films.

4) Environmental conditions: Materials in all collections that are unique in the library, and those for which a primary collection responsibility as part of a national collection coordinated effort has been assumed, should be housed in an environment that is filtered and air conditioned so as to temper the natural extremes of temperature and humidity. While this minimum does not specify the mechanical requirements of the air conditioning system, it is presumed that the minimum is at least a system which has cooling, humidity control and particulate filtration. Optimum conditions and archival standard conditions would of course be much more rigorous, requiring closed stacks, limited access to certain materials, and other protective measures, but these are not mandated at the minimum level.

5) Current budgetary effort: The library should allocate to measurable preservation activities an amount equal to at least 10% of its expenditures for books, serials, and other library materials or 4% of its total expenditures. Total expenditures and expenditures for books, serials, and other library materials are requested in the regular ARL Statistics Questionnaire and published in ARL Statistics. Measurable preservation activities are defined as those for which statistics are collected in the 1984/85 ARL Preservation Statistics Questionnaire. This questionnaire requests data on the salaries and wages, contract expenditures, and expenditures for supplies and equipment that have been spent on the following activities: full and routine conservation treatment, protective enclosure, contract binding, mass deacidification, and preservation microfilming.

Whereas some academic and research libraries currently spend for preservation activities, as defined above, from 1% to as much as 21% of their current operating budgets, only those programs in the range above 4% of expenditures can be said to be moderately strong and emerging into maturity. While this 4% figure is a subjective judgement, it is like any service standard that is meant to provide a rough characterization of what may be relatively strong and vigorous, yet in need of improvement and possibly less than the institution can achieve with some additional effort. This has to be an approximation in many libraries due to the fact that local accounting may not facilitate aggregation of expenses for preservation as defined.

The exact allocation of the preservation budgetary resources to various activities is a matter that can only be resolved locally. Thus, no attempt is made to suggest the apportionment except to call attention to the illustrative activities in the above definition of preservation.

(Comment: This 4% is a guess as to what magnitude of program may achieve equilibrium—as much progress made in preservation as will offset the rate of deterioration over the long haul. Indeed, further experience in the extent of preservation effort needed in order to begin to break even on the rate of deterioration may well suggest that 10% or even more may be necessary as a minimum. Research libraries with an exceptionally high proportion of manuscripts on poor paper or printed materials from the period with the worst paper may in fact have to expend what to others may seem an exorbitant proportion of their operating funds on preservation if they intend to achieve equilibrium. There could therefore be an optimum level of support, which may at individual libraries be several times the minimum level suggested above. And it should be no surprise, and certainly imply no managerial criticism, if a majority of ARL libraries today fail to exceed the minimum. Especially when dollars are scarce, priorities must be set for what can and cannot be achieved. It is probably the case that every library feels that it is inadequately coping with preservation deficiencies.)

These Guidelines were prepared in the light of informed opinion in 1983; the statistics components were revised in the spring of 1985. The state of technical and scientific knowledge about the nature and rate of deterioration of library materials, and of methods for their stabilization or strengthening, is still primitive enough that the current generation cannot with certainty say what should be a minimum preservation effort or an optimum preservation effort over the long term. As a consequence, these Guidelines will be reviewed by ARL every three years. Additions and modifications are to be expected as experience casts additional light on the topic. It is intended that these Guidelines serve as an encouragement, as a benchmark for individual effort, and not that they be used for accreditation purposes. The field of preservation is too uncertain to warrant such a rigid approach.

On the other hand, the extent of deteriorated collections is now of such overwhelming magnitude that the current generation must set some goals and strive mightily to achieve these if in fact we are to guard against leaving for our successors a literally impossible task. On that basis, ARL believes that these Guidelines for minimum preservation efforts provide a step in the right direction, and they are commended to ARL members for individual application. The aggregate result of our efforts should serve to strengthen the research capacities of our libraries for the years ahead. This is our obligation to future generations of scholars.

ARL Committee on Preservation
of Research Library Materials

Harold W. Billings
Margaret S. Child, Council on
Library Resources Liaison
John Laucus
Peter Sparks, Library of Congress
Liaison
David H. Stam
David C. Weber
Margaret Otto, Chair

Revised July 1985

0500F

Attachment 1

Minimum Preservation Obligations for RLG Members in Areas of Primary Collecting Responsibility

Member libraries should recognize special obligations to maintain and preserve their collections in areas of primary collecting responsibility (as defined by the Collection Management and Development Committee) and to enhance preservation of these materials as resources permit. These in-depth subject collections not only serve the holding library and its patrons but are also a resource for the whole of the Research Libraries Group and the larger population of scholars and researchers nationwide. Such collections should be maintained in good condition in hard copy or microform to allow the researcher continued access.

Material is considered to be in good condition if it can be subjected to normal use, now and into the foreseeable future, without incurring noticeable damage. Publications on paper are not in good condition if the paper is so brittle that it will crack or break when handled or photocopied, if it cannot be bound or rebound, or if it is highly acidic (for example, groundwood paper such as newsprint) and therefore likely to become brittle within a few years. Bound volumes are not in good condition if the internal binding structure is broken, or if covers are not intact. Publications on a film base (microforms, slides, etc.) are not in good condition if the film is torn, stained, scratched, or otherwise degraded to the point that it cannot be read on proper viewing equipment, or if the film housing (reel, slide mount) is damaged. Mutilated volumes are by definition not in good condition, and priority should be given to replacing missing or mutilated portions of library materials.

If volumes are not in good condition, they may be repaired, rebound, or restored where possible, if this is adequate to maintain the title in good condition. If not, the library may acquire a reprint or microform replacement if available. If this is not possible, the item may be filmed or reproduced in an archival hard-copy format.

Approved by the RLG Preservation Committee, October 15, 1981.
Approved by the RLG Collection Management and Development Committee, January 21, 1983.

Preservation Policies and Priorities

UNIVERSITY OF CINCINNATI

December 3, 1984

PRESERVATION REVIEW OF LIBRARY COLLECTIONS

PROGRAM STATEMENT

The goal of the University of Cincinnati Libraries' preservation program is the maintenance of all library materials important to the collection in good condition, either in their original format or in reproduction, to allow the researcher continued access. Materials are considered to be in good condition if they can be subjected to normal use, now and into the foreseeable future, without incurring significant damage. If volumes are not in good condition, they should be reviewed for replacement or withdrawal by subject specialists with adequate information on their value and relation to the collection.

However, this sort of review, under the direction of subject specialists, is only one aspect of the program. A system for monitoring the physical format and condition of new and potential acquisitions in order to make appropriate treatment decisions before adding to the collections is also necessary. The Libraries have an excellent physical treatment capability, but additional capabilities (and policies to guide their application) are necessary. These additional treatment options include a replacement capability to purchase reprints and microforms, or produce photocopies or microform copies of materials not available commercially.

PRESERVATION PHOTOCOPYING

Preservation photocopying may be preferable to microfilming in a number of cases, such as, volumes that are part of a set, or reference items, or volumes requiring extensive use of indexes or containing graphic materials. While no national standards exist for preservation photocopying, the following specifications should be followed:

1. The photocopy should be made on alkaline buffered, permanent/durable paper.

2. Double-sided copying that maintains the original format and size should be done whenever possible. To facilitate copying the book to be photocopied would normally be trimmmed along the back edge.

3. Equipment should be maintained in order to ensure good contrast, and strong bonding of print to paper. Maintaining the correct fusing temperature is critical to permanent copying.

4. The photocopy should be bound with a margin wide enough to facilitate future copying from the copy.

PRESERVATION MICROFILMING

At this time, reproduction in microform is probably the most cost effective preservation treatment for brittle books. If processed and stored under proper conditions, microforms will be usable for many years. Microforms may also be used to prevent unnecessary handling of fragile volumes or rare books with artifactual value. In carrying out preservation microfilming it is important to follow applicable technical and bibliographic standards, such as ANSI and Library of Congress specifications. The camera film, or first generation master negative, should be silver halide. The microform master should be stored under rigid environmental conditions and should be reported to the National Register of Microform Masters. Materials identified for microfilming or photocopying should be carefully collated before processing.

REPLACEMENT SEARCHING

The replacement searching procedure includes a check of the public catalogue and stacks to identify other copies and/or editions. Also, a number of major sources are checked for commercial availability of other editions, reprints, or microforms. Subject specialists will be notified regularly about materials to review within their area of responsibility. The microcomputer in Binding & Conservation will be used to help control the whole process. Each record in the file includes the bibliographic data for the book, the results of the search process and date fields to monitor action on the review.

Complex decisions are required in the evaluation of material for conservation treatment. These decisions are best made through liaison between the subject specialist and Conservation staff. Selection of conservation treatment for specific titles is a collection management activity. Guided by information from Conservation staff, selectors determine what must be preserved, given finite resources. In addition to information on treatment options, the Conservation staff can also provide comparative cost data. The treatment should be tailored to the pattern of use and expected useful life of the item and its value to the collection. Choosing the cost-effective treatment is important to the system. Resources spent to preserve the unnecessary item may prevent the treatment of an important work. Sometimes, the only reasonable choice is to do nothing; Conservation can make a variety of protective containers for deteriorated materials.

RECOMMENDATIONS

The Preservation Review Committee recommends that use of the Repair & Replacement fund be extended to make it available for photocopying and microfilming of brittle books that cannot be purchased from a commercial source. Secondly, the Committee urges the continued development of preservation photocopying and microfilming capabilities. And, we recommend that Conservation develop, in consultation with a representative from the C & IS Division, a written procedure for review of deteriorated material by selectors. This material will be held in Conservation to facilitate consultation between selectors and Conservation staff.

EMORY UNIVERSITY

Excerpt from

DRAFT SUBMITTED FOR APPROVAL
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EMORY LIBRARIES

PRESERVATION POLICY STATEMENT

Prepared by the Working Group on Organization/Policies
for the Preservation Committee/Study Team,
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EMORY PRESERVATION POLICY STATEMENT

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1.0 INTRODUCTION

1.1 Purpose

Preservation is the joint concern of all libraries of Emory University. In the implementation of a comprehensive preservation program, care must be taken to identify needs which must be met at three different levels: (a) the local needs of each Emory library; (b) the coordination of university-wide preservation activities; and (c) the cooperation among regional and national preservation programs which allows access to shared resources otherwise unattainable locally. The _Preservation Policy Statement_ outlines the relationship between preservation planning and implementation and the goals and objectives of the institution. The _Statement_ also defines the functions of the Preservation Office and the preservation responsibilities of individual staff members handling library materials. Its' purpose is to serve as a document which establishes the role of preservation in Emory libraries; a companion document, the Emory libraries _Preservation Manual_, provides more specific procedural information.

1.2 Definition of Terms

Preservation, for the libraries' purposes, is the broad term used to describe the preventive measures taken to retard, eliminate, or avoid deterioration of the collections. It is used more often in conjunction with principles and philosophy rather than hands-on activities.

Conservation, a portion of preservation responsibilities, is commonly used to describe treatment services such as repair and restoration. **Repair** involves actions which maintain the item in usable condition, while **Restoration** involves actions which return an item of artifactual value to its original condition. **Collections Maintenance** is a conservation term which encompasses activities such as insertion of indexes, pamphlet binding, and refurbishing. In this case, treatment is a preventive measure rather than a retrospective function. **Refurbishing** is often a Special Collections function and typically includes: vacuuming; replacing acidic envelopes and/or pamphlet binders; removing paraphernalia; interleaving; and noting items requiring further treatment.

Information preservation recognizes the hard reality that not every volume in the research collection must be kept in its original format. Those items valuable for their intellectual content alone and not as physical objects, and that are printed on poor quality paper, can often be more appropriately and economically replaced or reproduced than restored. Materials which have become embrittled are reviewed by selectors to make recommendations on replacement, reformatting, or retention. **Replacement** involves the purchase of commercially available reprints or microforms. **Reformatting** involves the local arrangement for transfer of the intellectual content to a more stable medium: microfilm, microfiche, or a xerographic copy on acid-neutral, buffered paper. Reformatting is also done to provide a service copy of rare or unique materials; the original may then be retired from use.

Retention is determined solely by the selector, who may elect to withdraw brittle items no longer relevant to the collection or those not worth the expense of replacement or reformatting. A **comprehensive preservation program** is one which recognizes and addresses the deteriorated physical condition of a large portion of the research collection and which provides a coherent and systematic approach for dealing with very brittle volumes. Thus, the information preservation component of the program is a key factor in comprehensiveness. Another element of comprehensiveness is the centralization of authority under the Preservation Office to deal with preservation concerns at all levels.

For clarification of other preservation-related terms, including terms which describe book structure, see the glossary appendix of the Emory libraries Preservation Manual.

1.3 Principles of Preservation

The basic premise of a preservation program is that it serves a function equal to the more traditional services of selection, acquisition, cataloging and dissemination of library materials. Yet, preservation activities cross departmental and divisional boundaries: there are close ties to collection development in information preservation; there are preservation-related activities such as bindery preparation and shelf preparation under technical services; and there are care and handling issues associated with public services.

In order to establish specific guidelines for Emory's preservation program, certain principles governing the preservation of research library materials need to be outlined:

- preservation generally involves a trade-off between the protection an item requires and the use it receives. The goal is to achieve a balance between the two needs.

- the level of preservation concern varies according to the category of material, i.e., general vs. special collections. See 1.4 for definition of categories.

- all materials used for the treatment of research collections are non-destructive.

- nothing is done to a rare or unique item that cannot be reversed.

- the library selector is responsible for determining an item's value, its significance to the collection, and intended use.

Given these guidelines, the Preservation Office staff are responsible for selection of the most suitable treatment. Criteria used by the Preservation Office staff include ethics (the appropriateness of conservation treatment), aesthetics, and economic considerations. Consultations may be required on a case-by-case basis or pertaining to whole collections.

1.4 Categories of Materials

The purpose of the following definitions is to aid the librarian, as selector, and the Preservation Office staff, as those responsible for recommendation of treatment alternatives, in setting levels of preservation concern. In a climate where needs exceed resources, priorities for treatment must be set which take into consideration the value of an item, its intended use, and projected longevity.

Research Materials:	materials of permanent research value
General Collections:	materials that circulate, receive moderate use within the building, and contain some duplicates
Reference Materials:	materials that are used frequently and are usually bound inadequately by the publisher for their size and weight. Sometimes superseded.
Reserve Materials:	materials that are in constant use, precluding a commercial rebinding
Ephemeral Materials:	materials that will be withdrawn, superseded, or reformatted. May receive light or heavy use.

Special Collections: rare books, unique materials including archives and manuscripts, items of local significance, or special format or subject collections. Often includes a large number of materials in nonbook/nonprint formats, such as photographs, maps, works of art, or memorabilia.

Nonprint Materials: library materials that are produced in a nonpaper-based format, i.e., microforms, slides, films, videotapes, sound recordings, computer software.

2.0 ORGANIZATION FOR PRESERVATION

2.1 Place of the Preservation Office in the Library Organization

The Preservation Officer has system-wide responsibility for preservation-related library functions and is responsible to the Librarians' Council, made up of the heads of all libraries in the University. The Preservation Officer reports to the Director of Libraries, as Chair of the Librarians' Council, on a continuing basis and submits monthly written reports to the Librarians' Council. All libraries in the University have direct access to the services of the Preservation Officer.

For advisory and communication purposes, a Preservation Committee, consisting of one representative from each library, is appointed by the Librarians' Council. The Preservation Officer serves as chair of the Committee.

The Preservation Officer works with departments in all libraries in areas of preservation planning, disaster preparedness and recovery, environmental concerns, library binding specifications, and staff and user education. Supervision of a centralized Conservation Department and a Reprographics Department for brittle book replacement and identification of materials for restoration are the direct responsibility of the Preservation Office. Both the Conservation Department and the Reprographics Department work closely with technical service and collection management staffs of respective libraries. The libraries have chosen to centralize these activities under the Preservation Office in order to share resources otherwise unavailable to each library. An organizational chart for the Preservation Office is included in **Appendix A**.

2.2 Authority of the Preservation Officer

The Preservation Officer is responsible for a coordinated preservation program at Emory. An effective preservation program must be headed by a person whose primary responsibility is the preservation of the collections. The Officer must have the authority to work through the organization and have access to and support of the library administration. The Preservation Officer must have authority to establish university library-wide guidelines and policies that will have the support and adherence of all library directors and their staffs. Preservation policies, plans, and guidelines affecting all libraries will be issued by the Preservation Officer upon approval of the Librarians' Council of Emory University. Plans, policies, and guidelines thus issued will be official in all libraries on campus. The Preservation Officer will have responsibility and authority for monitoring and revising these documents as needed.

The Preservation Officer will be consulted in all library operations relating to preservation issues and will have a major role in any decision in which preservation of the materials is a significant consideration. These decisions may include: types of products/supplies used (i.e., the quality of bookplates, pamphlet binders, labelling systems); vendors selected for contract services; procedures for all decentralized repairs or treatments; housing and storage of materials.

In order to ensure full communication and support from all campus libraries, the Preservation Officer shall report monthly through a written report to the Librarians' Council and present bi-monthly reports at Council meetings.

The job description for the Preservation Officer is provided in **Appendix B**.

2.3 Relationship to Technical Services, Public Services, and Collection Management

2.3.1 Technical Services

Technical Services staff, with responsibilities for library binding and shelf preparation, have a preservation-related function. In providing instructions to the binder, library staff make decisions affecting the usefulness and longevity of library materials. The Preservation Officer acts as a consultant in establishing and revising bindery preparation procedures which affect the quality of the binding process. Similarly, the Preservation Officer reviews shelf preparation procedures to ensure that nondestructive practices are used.

Collections maintenance activities, such as insertions and pamphlet binding, are also performed by technical services staff. These preservation functions are decentralized in order to allow timely completion and to reduce excessive handling. Library staff are trained in these procedures by Conservation Department staff.

2.3.2 Public Services

Public Service staff, having responsibility for handling and housing of library materials, are directly involved with the efforts of the Preservation Office to prolong the use of materials. Training sessions for Circulation staff are conducted by the Preservation Office to enable staff to identify materials in need of treatment, to demonstrate proper handling and shelving practices and to instruct in stack maintenance procedures. Items are examined at the time of check-out and those that are deteriorated are routed to the Conservation Department for rush treatment; the user is instructed to return the next day for pick-up. This screening of vulnerable materials prevents the occurrence of further damage or possible loss of text. Items are also examined at the point of re-shelving for possible preservation attention.

2.3.3 Collection Management

During the selection or replacement of books and other materials for the libraries, the selector considers the book's artifactual value as well as the value of its intellectual content. Considerations include questions concerning condition, format, potential shelf-life, and cost of maintenance. In addition, the selector considers the longevity of the usefulness of the information in the item. The selector should endeavor to obtain in a permanent, durable format, those books and materials which will have a long intellectual life in the library. For example, the selector may wish to obtain material in microform if the paper copy will not last long enough to meet the needs of users. Similarly, the selector may not need to consider the durability of format for materials of short-term retention value.

3.0 DIRECT RESPONSIBILITIES OF THE PRESERVATION OFFICE

3.1 Preservation Planning and Administration

In the implementation of a comprehensive preservation program for Emory libraries, it is necessary to take a phased approach which allows immediate concerns to be addressed on a timely basis, and which permits the program to grow steadily on sound foundations. Planning is accomplished through regular

Columbia University Libraries

May 1984

PRESERVATION POLICY STATEMENT

I. Introduction

The Columbia University Libraries is commicted to the preservation of its collection. Preservation is the action [illegible] to prevent, stop, or retard deterioration of library materials as well as to improve their condition or, as necessary, to change their format in order to preserve the intellectual content. Conservation implies the restoration of individual items to a state close to the original, by means of physical treatment. Preservation is used here as the broader term encompassing both preservation and conservation. Replacement of materials lost or missing is a form of preservation.

In a research library, most materials are selected for permanent value and therefore should be preserved. Some materials, however, may not be added as a permanent part of the collection, and a preservation decision may be made as they are acquired or a later selection decision may be necessary should the items become deteriorated, or the library's need changes.

In the Columbia University Libraries responsibility and authority for preservation decisions rest with the following positions (or their designees): the Department Librarians, the Distinctive Collection Librarians, and the Science Division Chief, and the Butler Collection Selection Officers, in consultation with access services staff, subject specialists, area bibliographies, and preservation staff. Final responsibility and authority rests with the Director of the Resources Group and the Distinctive Collection Librarians.

Columbia University Libraries, to insure the preservation of the collections, has established a distinct Preservation Department within the Resources Group. The Head of the Preservation Department serves as an advisor to those responsible for collections, and the departmental staff provides various preservation services. The Department has produced the *Preservation Handbook*. The Head of the Department also chairs the Preservation Committee which has produced a *Disaster Preparedness Plan*. These two documents provide the technical details and procedures for day-to-day preservation activities; they also provide recommendations for action in special situations like floods.

The purpose of this policy statement is to provide the framework for coordinating preservation decisions with collection development decisions. It provides guidelines for coordinating such decisions within individual collecting policies. The guidelines apply generally to all formats, but do not include Art Properties.

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The policy statements in this document are written within the philosophical framework that preservation is necessary and needs no further justification in a research library. They are based on certain basic principles:

1. The department or distinctive collection librarians, including the Science Division and Butler Stacks selection officers, are responsible for developing and maintaining a collection which meets the needs their library users. Therefore, preservation policy materials in those collections is best determined these officers. They, however, consult area bibliographers, reference staff and others when necessary, and encourage input from other staff members, including personnel from the Acquisitions and Gifts and Exchange Departments.
2. Preservation decisions have economic as well as philosophical and aesthetic implications.
3. Within budget and staff constraints, high priority is assigned to preservation.
4. A written preservation statement provides a framework for decision making, and provides historical documentation for decisions. A written statement also provides a listing of priorities for preservation treatment.
5. Indefinite storage of unusable materials within the Columbia University Libraries cannot be justified.
6. Those responsible for collections must understand the treatment options available for materials, and the guidelines for preservation decisions.
7. Preservation decisions should be recorded.

II. Preservation Decision Points

Preservation decisions for individual items must be made at various points in the life of an item in the library. Materials for which such decisions are needed should be brought to the attention of section or departmental staff who are charged with making such decisions. The individuals most likely to be authorized and responsible for preservation decisions are indicated in the examples which follow. Other staff members in various units may appropriately be charged with certain levels of decision, e.g. replacement of lost or missing periodical issues or books under $50.00; or choice of bindery (commercial or CUL).

Methods of documenting the decision, such as recording on the shelf list card, entering it into the online record, coding it onto the piece itself, etc., should be utilized to minimize redundant handling. [Determining the most efficient method for recording these decisions is beyond the scope of this document, and a separate group should explore the possible options for this activity.]

The following routine activities present the most likely and frequent opportunities for preservation decisions and related activities:

1. Selecting (BIBLIOGRAPHER): Examples of types of preservation decisions and activities: bind/do not bind; restore upon receipt (used books); catalog for restricted collection; do not catalog (office copies, ephemera, added copies for reserve, etc.). The bibliographer is also involved in reselection decisions of replacement, rebinding, withdrawal.

2. Ordering and Receiving (ACQUISITIONS LIBRARIAN): examples of types of preservation decisions and activities: replacement of individual periodical issues; identification and return of defective copies.

3. Cataloging (CATALOGER): examples of types of preservation decisions and activities: recommendation for preservation microfilming; identification of missing parts in collating.

4. Materials Processing (SUPERVISOR, PRESERVATION OFFICER): examples of types of preservation decisions and activities: mylar encapsulation; commercial or CUL repair; microfilming.

5. Circulation (SUPERVISOR): examples of types of preservation decisions and activities: identification of materials in disrepair and referral to selectors; recommendations for replacement of lost or missing materials.

6. Pulling for Interlibrary Loan (INTERLIBRARY LOAN STAFF): examples of types of preservation decisions and activities: replacement of missing pages; identification of materials in disrepair and referral to selectors; recommendation of replacement of lost or missing materials.

In addition to these routine processes in which preservation decisions and activities may be required, systematic collection maintenance/review and disaster recovery are activities which require preservation action.

III. Treatment Options

The Preservation Department offers a number of options for the treatment of deteriorated material, primarily based on the condition of the material. The earlier deteriorated material is identified and sent for treatment, the more economic the treatment process will be. The treatments which follow are ordered from the least expensive and routine to the most costly, complicated, and time-consuming. Processing is not included in the cost figures.

1. Commercial binding and rebinding. At a current cost averaging $3.75 per pamphlet volume, $5.75 per monograph rebind, and $7.00 per serial volume, our two commercial binders will provide long-lasting protection for materials added to the collec-

tions in paper covers and serial volumes; and rebinding when the paper is still sound.

2. Preservation Department repair and rebinding. Materials that need more care than a commercial bindery will give can be repaired and rebound in house. Because of the hand work and staffing costs, this is often more costly than outside binders' work.

3. Protective enclosures. Materials that cannot be rebound because of deteriorated paper can be placed in a protective case. This is advisable for the following categories of materials: those which have value as artifacts, those that are already preserved but a copy is to be kept as long as possible, single volumes of serial sets, or those materials not important enough for more expensive preservation. Each case costs approximately $8.00. Single sheet items or pamphlets may be encapsulated in mylar and post-bound.

4. Replacement. Materials that are still in print or have been reprinted, or microfilmed by another source may be replaced through acquisition budgets. Costs are variable. Microfilm of another libraries' copy of an item may often be ordered from the holding library if CUL's copy is too badly deteriorated to film. (see also section IV.D.)

5. Preservation Department microfilming. Deteriorated materials that have not been preserved by other libraries or commercial ventures may be microfilmed inhouse. Estimated costs are $50.00 per 150 exposure monographic title. Serial titles incur one bibliographic cost, about $25.00 or half of the total, but have higher collation and filming costs.

6. Conservation treatment. Rare and valuable materials may be treated by a conservator. Costs are high. Each item must be considered in light of available treatments and funds. Decisions to engage outside conservators should be made in coordination with the Preservation Department.

IV. Collection Preservation Policy Guidelines

A. Introduction

Preservation decisions for individual items or groups of items are very difficult. The decisions are often subjective. The following considerations will both present the larger context for preservation decisions, and assist the librarian in making consistent, logical decisions. Because the materials are deteriorating so quickly and it is expensive both to keep materials in poor condition on the shelves or to treat the materials, it is imperative that a systematic process be initiated rapidly.

B. Decision-making considerations

1. Type of collection

a. Library of record: Many Columbia libraries hold such comprehensive collections in certain subject areas that they are considered libraries of record, e.g. SLS in library science and Avery in architecture. A library of record is defined as a library which agrees to acquire, maintain, and lend items from, its very intensive collections for the benefit of other libraries. For these subject collections, retaining one copy of each text in any format is of prime importance. Generally speaking, the basic text must be kept in perpetuity and be mended, rebound, and replaced if it deteriorates or is lost. RLG primary collecting responsibilities subject areas may also fit into this category.

b. Research level collections: There are collections that support research in certain areas, although the materials may not be unique or the collection designated as one of record. Individual decisions must be made for this material in relation to its value to the collection; other factors to consider are the scope of the collection, the content of the item, and its use patterns.

c. Instructional support collections: There are collections that are designed to support a specific department's educational programs. Current materials may be mended or rebound, but not necessarily replaced, or serials may be preserved, but monographs not.

d. Duplicate collection: Some collections contain no unique material, but material which is duplicated in another collection, e.g. College and Burgess-Carpenter. Material may be weeded more heavily, and withdrawn when deteriorated beyond rebinding, so long as the withdrawal decision is coordinated with the primary holding collection.

e. Rare Book and Manuscript collections: Volumes that are old, valuable, impossible to replace, and/or have value as artifacts, involve extraordinary conservation needs. Materials that fit into this category are listed in section IV.D.

2. Type of materials

a. Monographs. Monographs should be purchased in hard cover if possible. When paper covers are the only format available, they will be commercially bound before being added to the collection. Preservation decisions are made on an individual basis.

b. Serials. Serials should be commercially bound as early as is practicable for their security and preservation. Microform or paper replacement should be considered depending on use. Preservation decisions require a consideration of the entire holdings. Individual deteriorated volumes may be boxed in order to keep a set together.

c. Monographic series. Volumes in monographic series are treated as monographs if separately classed, as serials if classed together.

d. Nonprint materials. Each type of nonprint material has its unique preservation needs which must be considered. Preservation decisions must be made using the same criteria for print materials as well as considerations of unusual housing requirements, reading equipment, and fragility of the media.

3. Evidence of Use

Materials that have circulated or been requested on Interlibrary Loan are obvious candidates for preservation decisions. Although past use usually predicts future use, it is difficult to second guess scholarship needs, and materials should be preserved if the content warrants.

C. Guidelines for withdrawal of materials

Deteriorated materials may be withdrawn if they meet one of the following criteria:

1. No longer within the scope of the collection;
2. Duplicates or added copies;
3. When they have been replaced;
4. When they have been superseded, and the earlier edition is not necessary to the collection;
5. Ephemeral;
6. Easily available in microform;
7. Easily available through a cooperative program.

D. Guidelines for transfer to restricted access or special collections.

Materials should be offered to the Rare Book and Manuscript Library in Butler, and special collections in Avery, Health Sciences, East Asian, the Science Division or Law depending on collection and subject matter for consideration if they meet one of the following criteria:

1. Early printed books:
   a. Printed in Europe before 1600;
   b. Printed in England before 1714;
   c. Printed in the United States before 1812;
   d. Health Sciences and Science monographs printed before 1876;
   e. Art and Architecture printed before 1800 or in the U.S. before 1895;
2. Important first, limited, or special editions;
3. Landmark editions of books in the history of a subject;
4. Fine bindings, typographic, or graphic illustration; photographic illustrations;
5. Important signed, annotated, or association copies;
6. Special subjects: trade catalogs, view books, Confederate imprints, modern art movement documents, Columbia University related materials.

Any questions as to whether a book is suitable for transfer should be directed to the librarian in charge of the appropriate special collection.

E. Guidelines for Replacement

1. Deteriorated Volumes

Materials should be replaced when possible as they become deteriorated and still have value to the collection. If the material can be replaced in hard copy, either by a new edition, a reprint, or another copy in better condition, this is the replacement of choice. The second most desirable replacement is by available microform either from a commercial source or another library. Considerations of space in a library may result in a preference for microform. If neither option is available, a recommendation should be made for inhouse microfilming. Because there are so many titles that need preservation microfilming, inhouse filming time cannot be used to film items already available from a commercial source; no matter what the cost.

2. Missing Volumes

Materials that have been declared missing should be replaced under the same conditions as deteriorated volumes.

3. Missing Pages

Pages which have been removed either from a bound journal or a monograph can be replaced by ordering them from a commercial publisher, or photocopies from another library through Interlibrary Loan under certain conditions. Consideration should be given to the number of missing pages, the accessibility of the material, and the cost of an interlibrary loan transaction. If the number of pages is high or if the material from a monograph would be expensive if borrowed from another library, then consideration should be given to replacing the entire book or journal rather than just pages.

Replacement pages for serials are ordered in most departments through Book Acquisitions. Certain guidelines should be followed in preparing the replacement pages for rebinding. The pages must be copied on acid-free paper and must be double-sided. Adequate margins must be present. These pages may be tipped into the volume if fewer than six pages; more will require rebinding of the volume. If the number of pages is significant, consideration should be given to binding the replacement pages separately if they represent a distinct unit such as a chapter, entire article or issue.

V. Sample policy statements

Sample statements for the Business Library and the Butler Collection are appended. These statements are samples only and have not been officially approved.

III. Methods of Treatment

1. Deteriorated and Missing items

1. Monographs

Monographs are cataloged and are bound before they go to the shelf. When deteriorated, the Technical Services Supervisor, in consultation with the Librarian, decides upon the method of preservation. Most damaged items are sent to be rebound, repaired, or placed in protective enclosures. If a reprint is available for badly damaged items, it will be the preferred option, unless there is something distinctive about the original. Little effort is made to locate monographs on the out-of-print market. If pages are missing, the preferred option is replacement if still in print. ILL is used in some cases for hard to locate missing pages.

2. Serials

Serials are bound as soon as feasible except for newspapers and trade journals which are usually retained in microform only. If microfilm is not available for a newspaper title, the title is not retained for more than a year. Certain serial titles (newsletters, chamber of commerce promotional publication or statistical releases which are cumulated in another serial) are kept only two years. Certain scholarly titles are bound, and also retained on microfilm. Paper copies of trade journals and newspapers are discarded when the microforms are received. Missing issues are not ordered for the two year discard items but are ordered for other serial titles except for statistical serials which have cumulative issues. These are bound with lacks.

If pages have been removed from an unbound serial, every effort is made to replace the entire issue. If pages have been removed from a bound serial, the following options are considered:

a. replacement pages ae ordered through book acquisitions
b. replacement issue or reprint of an issue is ordered
c. if many pages are missing, a microform of that entire year might be ordered even though that title is not normally retained in microform
d. if replacement pages cannot be easily rebound, the replacement pages are bound separately
e. a document delivery service migh be used if a missing article is needed quickly.

3. Microforms

Damaged film or fiche is usually replaced immediately. No effort is made to obtain a paper copy to replace a microform. Special folders have been designed to protect the corporate report microfiche. Every effort will be made to purchase only equipment for reading/copying which will protect microforms from damage.

Sample Preservation Policy

BUSINESS LIBRARY

I. Type of Library

The Business/Economics Library collects monographs, serials, and microforms to support research and teaching for the Graduate School of Business, the Department of Economics, and related programs. Items are collected for permanent retention and are to preserved. Exceptions are some serial titles, reserve items, and ephemera.

II. Preservation Decision Points

1. Acquisitions

Decisions will be made on the retention of journals in microform; whether binding or filming is desirable for foreign publications. Paperbound materials are bound before being added to the collection. Materials received in poor condition are returned to the publisher when possible.

2. Reference

Decisions are made by Reference Staff in the following cases: the identification of missing pages by patrons; improper or incorrect binding identified by patrons; reference books that have deteriorated.

3. Circulation

All monographs and bound serials to be reshelved are scanned for preservation problems; items paged for readers from B202 are given special attention; books are examined for problems before circulation.

4. Interlibrary Loan

The ILL assistant reviews all items before they are sent out. The decision is made in consultation with the Librarian to circulate, not circulate, or note treatment needed when the item is returned.

5. Reserves

When an item is removed from Reserve circulation, rebinding is considered if it has been heavily used.

6. Binding

The Binding Clerks and Technical Services Supervisor monitor all materials going out and coming in from the binders. Mutilated and missing material are given special attention. Potential preservation problems, microform retention decisions, items lost at the binder, etc. are brought to the attention of the Librarian. Materials to be sent for preservation binding or repair are selected and monitored by the Technical Services Supervisor.

4. Ephemera

Items in the vertical file, hard copy corporate reports, and Scudder file items are withdrawn if they become deteriorated. Bound volumes from the Scudder Files are retained, but the library has not continued the policy of binding corporate reports.

IV. Withdrawal Policy

The Business Library will withdraw or transfer the following types of materials:

a. Superceded textbooks;
b. Reprints of articles;
c. Candidates for transfer to a more appropriate library, e.g. census materials, League of Nations documents, etc.
d. Out-of-print books which have not been returned from circulation that are no longer of value, e.g. how-to titles, materials in which later editions are available;
e. Materials available in microform in another CUL location, e.g. city directories, foreign statistical serials.

Sample Preservation Policy

BUTLER GENERAL COLLECTION

I. Type of Collection

The Butler General Stacks collection is a research level collection in which materials are acquired for long term retention. In some subject areas it is considered a library of record, e.g. RLG Primary Collecting Responsibility subjects. The collections support the research needs of faculty, students, and researchers in the humanities and in historical studies. The Microform Reading Room has the responsibility for microforms, and the Periodical Reading Room is responsible for the acquisition and first time binding of serials.

II. Preservation Decision Points

1. Acquisitions

Copies will be added if a. the subject is one in which past experience indicates that the likelihood of theft will be high, e.g. extreme public opinion, sex, cinema, or the classics; or, b. an unreturnable duplicate or gift of a substantial text is available.

2. Circulation

Deteriorated, missing or damaged materials are identified by the circulation staff; decisions as to commercial or inhouse rebinding are made at this point.

III. Methods of Treatment

A. Deteriorated items

1. Materials that can be commercially rebound are sent to the binder at the earliest practicable moment after they have broken down.

2. Materials that cannot be rebound are treated as follows:

a. They are first searched in the general catalog and in reprint catalogs to determine the existence of other editions, formats, and departmental locations, as well as whether or not reprints are commercially available.

b. They are next referred with the "Circulation Replacement Decisions and Search Forms" (see attached) to the appropriate book selector. The decision will be made as to withdrawal based on guidelines in Section IV., replacement, protective enclosure, or inhouse filming.

B. Missing Items

Missing items identified by circulation are searched to determine whether other copies or editions exist in the system, then referred to the appropriate book selector. The following guidelines are followed:

a. Items which are deemed impractical or unworthy of replacement ar following materials: cinema, especially the popular heavily illustrated materials; rare and illustrated books for which no replacement is likely or affordable; popular topics like sex, drugs, and the occult.

b. Items to be replaced are searched to determine commercial availability. Available replacements are immediately ordered.

c. Items for which no commercially available replacement exists are re-referred to the selector who may order microfilm from another holding library if the volume is deemed necessary to the collection.

IV. Withdrawal Policy

The General Library will withdraw materials under one of the following circumstances:

a. When materials are out of scope of the collection. This type of material will be offered to appropriate selectors within the CUL, and if wanted transfered, if not withdrawn;
b. When materials have been superseded and earlier editions are of no value;
c. When copies in better condition are elsewhere in CUL;
d. The item is commercially available.

COLUMBIA UNIVERSITY LIBRARIES

GENERAL LIBRARY

REPLACEMENT DECISION AND SEARCH FORM

SELECTION

Withdraw____
Repl. Microfilm____
Paper____

In House Microfilm____
Protective Enclosure____

CATALOGUE SEARCH

Call Number   Copies   Vols.

Author

Title

Place, Publ., Date

Series

GL Only____
NISL____
NIGC____

Other Eds. (Dates)

Other Libraries

REPLACEMENT SEARCH

Paper

BiP____
Non U.S. BiP____
Guide to Reprints____
Trade Catalogues____

Microfilm

MiP____

NRMM	1965-75____	79____
	76____	80____
	77____	81____
	78____	82____

UMI
Books on Demand____
Serials in Micro____
NYPL____
Trade Catalogues____
NUC (Loc)____

REPLACEMENT EDITION

Place, Publ., Date

ISBN   PRICE

NATIONAL LIBRARY OF MEDICINE

PRESERVATION OF THE BIOMEDICAL LITERATURE:

A Plan for the National Library of Medicine

Betsy L. Humphreys
Duane Arenales
James C. Cain
John Parascandola
Mark J. Rotariu
George R. Thoma
Linda Watson

October 1985

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service - National Institutes of Health

National Library of Medicine
8600 Rockville Pike
Bethesda, Maryland 20894

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Appendix 5

DRAFT PRESERVATION POLICY

This Preservation Policy is established for the National Library of Medicine (NLM) pursuant to the authority contained in the National Library of Medicine Act of 1956 (P.L. 84-941), which charges the Library to "acquire and preserve ... library materials pertinent to medicine." NLM has an obligation not only to provide information needed by today's health professionals but also to ensure the availability of the scholarly biomedical record for future generations.

NLM's preservation program is governed by the guidelines for selection of the biomedical literature for the NLM collection, as described in the Collection Development Manual of the National Library of Medicine. NLM's principal responsibility is to ensure the preservation of the core biomedical literature that it collects at the comprehensive level. The Library has a lesser responsibility to assist in the preservation of literature in the subjects related to medicine and health that it collects at the research level. NLM assumes no responsibility for preservation of materials in subjects it collects at the basic information level. Within these parameters NLM must ensure that the biomedical literature is preserved. The preservation of NLM's own collection is a major step toward the preservation of the entire scholarly biomedical record. NLM also has a responsibility to assist the preservation of important biomedical literature held by other U.S. institutions. NLM's preservation efforts should be coordinated with those of other national libraries, research libraries and biomedical libraries.

Subject to the coverage guidelines in the Collection Development Manual, NLM seeks to preserve biomedical literature in all formats, including printed works, manuscripts, prints, photographs, audiovisual programs, and any additional formats that the Library may acquire in the future.

Although most items in the NLM collection may be retained in the original form as long as they remain useful, NLM's primary preservation responsibility is for the content of the biomedical literature rather than its original format. The need to preserve the original format as well as the content of the literature varies depending on the nature of the literature. In general, the items in the NLM collection with high intrinsic value are rare books, manuscripts, prints, and photographs, but individual items that deserve preservation in the original format may be found throughout the collection.

Preservation of all the core biomedical literature that NLM collects at the comprehensive level is desirable and probably achievable. In assigning preservation priority to groups of material, consideration shall be given to:

- uniqueness of the material
- level of use of the material

- state of deterioration of the material

- existence of preserved originals or preservation copies at other institutions

- relationship of the material to existing cooperative preservation activities

- availability of suitable preservation methods

The NLM staff shall monitor developments in preservation techniques to ensure the use of the most cost-effective methods available and shall participate in research, development, testing, and evaluation of preservation technology. In selecting specific techniques for particular groups of material, the staff shall consider the likely future demand for the material, ease of use of the preserved originals or preservation copies, the cost and reliability of the preservation method, the cost of long-term storage of the preserved originals or preservation copies, and other factors as appropriate.

Operational guidelines and procedures for selecting items to be preserved, choosing preservation techniques, and processing items for preservation shall be detailed in a manual to be developed and amended from time to time in a manner to be determined by the Director.

Definitions:

- "Biomedical" shall mean pertaining to health care, to the practice of the science and art of medicine broadly conceived, or to those branches of life sciences which are fundamental to that science and art.

- "Literature" shall be construed to include information not only in the form of the written or printed word, microforms and graphic materials, etc., but also such non-print information formats as audiotapes, videotapes, films (both still and motion picture), slides, computer tapes, etc.

- "Preservation" is the management of library materials to ensure their availability for use by future generations. Preservation encompasses such diverse activities as maintaining an appropriate storage environment, minimizing use practices that are harmful, providing physical or chemical protection to items, and making copies of literature in archival formats.

- "Comprehensive Level" shall describe a collection in which a library endeavors, so far as is reasonably possible, to include all significant works of recorded knowledge (publications, manuscripts, other forms) in all applicable languages, for a necessarily defined and limited field.

This level of collecting intensity is one that maintains a "special collection;" the aim, if not the achievement, is exhaustiveness. Older material is retained for historical research.

NLM collects the core biomedical subjects at the comprehensive level.

- "Research Level" shall describe a collection that includes the major published source materials required for dissertations and independent research, including materials containing research reporting new findings, scientific experimental results, and other information useful to researchers. It is intended to include all important reference works and a wide selection of specialized monographs, as well as a very extensive collection of journals and major indexing and abstracting services in the field. Older material is retained for historical research.

  NLM collects these subjects it defines as related to medicine at the Research Level. Selections in these subjects are generally in English and selected foreign languages only. The selected foreign languages are usually French, German, Japanese, and Russian, but may vary depending on the primary centers of research in particular subject. Special language criteria, if any, are described under the individual subject.

- "Basic Information Level" shall describe a collection of up-to-date general materials that serve to introduce and define a subject and to indicate the varieties of information available elsewhere. It may include dictionaries, encyclopedias, selected editions, surveys, bibliographies, handbooks, a few major periodicals, in the minimum number that will serve the purpose. A basic information collection is not sufficiently intensive to support any courses or independent study in the subject area involved.

  NLM collects those subjects it defines as peripheral to medicine at the Basic Information Level. Selections in these subjects are generally in the English language only.

Excerpt from Preservation Planning.
Program Final Report

ATTACHMEMT 6

NORTHWESTERN UNIVERSITY
Inter-Office Correspondence

DATE 16 January 1986

TO Selectors, Mary Fortney, and Patrick Quinn

DEPARTMENT

FROM Scott Bennett Scott

DEPARTMENT

One of the objectives of the Preservation Planning Program is to establish preservation priorities for the Library. Given that we cannot save everything in the collections, preservation priorities will enable us to answer the critical question, what will we save?

I believe the confident setting of preservation priorities will be a heuristic process and will take some time. For the present, it is essential to get the greatest possible value from our current investment in preservation. With that in view, and in order to give the Library a point of departure in setting its preservation priorities, I have decided to establish the interim preservation priorities described in this memo. These interim priorities are meant only to describe and govern our present preservation practices, which will certainly change. These priorities do not represent settled Library policy.

I have consulted the following persons or groups in writing this memo: Richard Frieder, Priscilla Andre (chair of the Preservation Planning Program Task Force C), the Advisory Committee on the Book and Serial Funds, and the Administrative Committee.

Stating our priorities. We must have priorities because we cannot save everything that we wish to save. The most significant limitation we face is money. The following priorities are therefore expressed in terms of the funds available to support preservation work.

The priorities are stated in a matrix. The horizontal axis of this matrix states the Library's several different program objectives in preservation; the vertical axis states the budget categories that support this work. The approximate FY1986 allocation for each of these categories is recorded for your information; the overall cost of directing the Library's preservation program and the overhead costs of the Preservation Department are not included in these allocations.

Appended to the matrix is a description of the several program objectives and budget categories used in describing our preservation activities and setting these priorities. Each description of program objectives includes a statement of how material is identified for treatment and how priorities are set within that program. The description of the program objective (C) for unique collections and collections of national importance calls for more explicit decision making and is particularly important.

Using this matrix, I have allocated resources with two main objectives. The first is to prepare adequately for use all material that is newly added to the collection. The second is to focus our limited resources for mending, conservation, and reformatting on the Library's unique collections and collections of national importance. These collections represent Northwestern University Library's special strengths in the world of learning. We can serve the long-term needs of scholarship best by concentrating our resources on these collections. Such a concentration offers, as well, a basis for cooperative preservation activity.

Users of the "ordinary" parts of the collection--material that is widely held elsewhere--are disadvantaged by this focus on the Library's unique strengths. That disadvantage is intensified by the fact that most local use of the collections falls outside these areas of unique strength. This disadvantage will be addressed, over time, through cooperative preservation activities. In addition, as the Library's preservation funds become more nearly adequate for the task to be done, it will be possible to allocate funds more generously to the mending, conservation, and reformatting of the ordinary parts of the collection.

Conclusion. I wish to emphasize that this memo records a number of interim decisions about the use of the Library's preservation funds. The Preservation Planning Program Task Force will issue a five-year plan this spring. That and the follow-up activities it inspires will probably make this memo obsolete within a year. Similarly, as the preservation budget grows to meet the needs of the Library, the allocation of funds (and perhaps the matrix for making the allocation) will change.

Acknowledging the likelihood of these changes, I am sending this memo to selectors now to inform them of the resources that are currently available for preservation and of the ideas that will govern the allocation of those resources over the short term. This memo is also an invitation to selectors and other librarians with unique collections or collections of national distinction in their charge to begin working with me and the Preservation Officer to establish individual preservation programs for those collections.

enclosure
cc: Preservation Planning Program Study Team

SB:st

ALLOCATION OF NUL FY1986 PRESERVATION RESOURCES*

Activity	A. Preparation of new material	B. Ordinary maintenance	C. Maintenance of unique collections	D. Grant-supported preservation	E. Other conservation	FY1986 Budget
1. Binding Preparation	85%	10%	—	NA	5%	\$165,457[a]
2. In-Library Mending	10%	30%	50%	NA	10%	41,135[b]
3. In-Library Conservation	2%	18%	70%	NA	10%	18,229[c]
4. Contract Conservation	2%	18%	70%	NA	10%	4,000
5. Reformatting	—	20%	70%	NA	10%	39,258[d]

NA = not applicable. As of 1 January 1985, grant funds for preservation for FY1986 total \$37,266. Of this, \$13,583 will be spent on in-Library conservation, and \$3,979 on in-Library mending.

Notes

a. Includes Binding Preparation staff costs

b. Includes Mending unit staff costs

c. Includes staff, supplies, and photocopying costs

d. Represents Fund 12 in the Book and Serial Funds Statement

* Excludes administrative staff and operating costs of the Preservation Department; also excludes funds for remodeling the Conservation Laboratory

PRESERVATION PROGRAM OBJECTIVES (horizontal axis)

A. Preparation of new acquisitions. In this activity, acquisition processes identify material needing preservation treatment, usually binding. The goal is to treat appropriately and adequately all new acquisitions. Large additions to the binding budget have been made to meet that goal. When funds are inadequate to achieve our goal, standards of treatment are lowered for certain categories of incoming material rather than for certain parts of the collection. An example of this is that some paperback publications that are well manufactured and that are expected to get low use will not be sent to the bindery, whatever their subject matter.

B. Ordinary maintenance of material in use. Circulation activity is the primary means of identifying material for this treatment, which includes in-house mending and commercial rebinding. The need for such maintenance will exceed our budgetary ability to provide it for the foreseeable future. Accordingly, priorities for this maintenance will be established using the information provided to the Preservation Officer on the newly revised Preservation Department advice slip. For example, books likely to receive heavy use (such as reference material) will get treatment before little used books or books that are likely to be withdrawn from the collection soon. All material that qualifies for treatment C (following) is excluded from the priority system developed for treament B.

C. Maintenance of unique collections and collections of national importance. The objective here is the long-term preservation of material that is held only at Northwestern (e.g., archival and manuscript material) or that is consciously collected to serve a national or international constituency of scholars as well as the Northwestern community (e.g., the Transportation collection). Treatments will include ordinary mending, preventive maintenance, reformatting (usually onto microfilm), deacidification, encapsulating, the construction of slip cases or other protective coverings, etc.

Material will be identified for treatment through a formal, two-step process. The first step is to establish an agreement among the AULCM, the Preservation Officer, and the appropriate selector or curator that a given collection qualifies as being either unique to Northwestern or important to scholarship beyond Northwestern, or both. Any one of these three persons may initiate the discussion leading to such an agreement. Material qualifying for such treatment may include an entire departmental collection (e.g., Africana), or part of a departmental collection (e.g., post-1945 art music), or a discrete subject collection (e.g., the Women's Collection), or a specific part of a subject collection (e.g., the Women's Ephemeral File), or material bearing on a given subject matter located throughout the Library system (e.g., avant garde art in Special Collections, the Art Collection, and in the research towers), or a given format (e.g., photographs), or a subject matter for which Northwestern holds a primary collecting responsibility from RLG (e.g., the literature of posters). These examples are meant to be only that; other possible categories and other cases will undoubtedly occur to individual selectors.

Once an agreement exists that a certain body of material qualifies for this category of treatment, the Preservation Officer and selector will carry out a condition survey of the material. Their purpose will be to establish what treatment is needed and what priorities should be observed in giving that treatment.

It is certain that the preservation needs of material in this category will far outrun the resources available to support it. Priorities will be established through the steps just described for identifying collections and surveying them for the treatment most urgently needed.

D. Gift, grant, or contract supported preservation. Material for treatment will be identified by the conditions of the gift, grant, or contract. Needed treatment will usually also be specified by the funding source, at least in broad terms. The Fry Foundation grant to support the preservation of parts of the Africana collection is an example of such support.

E. Other conservation. This category is used at the discretion of the Preservation Officer for the treatment of material not covered in categories A-D. It is likely that Special Collections items will frequently be handled in this category.

NOTE: It should in time be possible to use NOTIS for most of the record keeping associated with these program objectives, especially for C. The Preservation Planning Program Task Force C is charged with stating how NOTIS can be used as a management tool for the Library's preservation program.

PRESERVATION BUDGET CATEGORIES (vertical axis)

1. Binding preparation. This is the preparation of material for commercial binding or rebinding.

2. In-Library mending. This is the activity carried out by the Mending staff; it includes ordinary repair and preventive maintenance and requires the least specialized skills to carry out.

3. In-Library conservation. This activity will be done in the newly equipped Conservation Laboratory and will include a wide range of treatments, from hand binding to deacidification and encapsulation to reformatting. The work will be done by the Preservation Officer and his associates and will require high levels of skill.

4. Contract conservation. Included here is any conservation work (except reformatting) that the Library has done by outside vendors. The range

of treatments is the same as for in-Library conservation; the decision to have the work done by a vendor will depend on the nature of the material treated and the scope and complexity of the work.

5. Microform replacements and contract reformatting. It often makes sense to relinquish paper copies in favor of regularly published microforms, or to have microforms made of badly deteriorated paper copies. The focus of this activity is the preservation of material already in the collection through the purchase or the creation of a microform copy. Preservation funds will not be used to purchase new material for the collection.

Decision Making

APPENDIX 5

BIBLIOGRAPHIC SELECTION

CRITERIA FOR PRESERVATION

The following task force report was prepared by Susan Searing, University of Wisconsin System Women's Studies Librarian, Dianne Hopkins, Assistant Professor, School of Library and Information Studies, University of Wisconsin-Madison, and Louis A. Pitschmann, Chair, Associate Director of Collection Development, Preservation, and User Services, University of Wisconsin-Madison.

The Task Force began its work by reviewing two recent publications on selection-for-preservation issues written by Ross W. Atkinson ("Selection for Preservation: A Materialistic Approach") and Margaret S. Child ("Further Thoughts on 'Selection for Preservation: A Materialistic Approach'"), both of which appeared in the October/December 1986 issue of Library Resources & Technical Services.

While these articles address the primary issues relating to selection for preservation and will in all likelihood become the most widely accepted guidelines for selection within the context of preservation, it was felt that the task of establishing criteria for preservation within the context of WISPPR went beyond the boundaries of either of these articles. This opinion was based on the the fact that Atkinson and Child's focus centers on large research library collections. In contrast, the Task Force needed to address selection of materials housed in libraries and archives of varying sizes, many of which are not of a research nature.

Using the Atkinson and Child articles as a starting point for discussion, the Task Force based its work on the following assumptions:

1. Criteria for preservation will vary from one institutional context to another depending on the size and mission of each institution.
2. Institutional priorities should be determined by individual institutions.
3. In order to apply criteria and set priorities, institutions will need to survey their collections in order to determine one or more of the following unranked factors:
    a. physical condition of materials,
    b. environmental quality of the housing facility,
    c. use made of materials,
    d. subject strengths,
    e. unique nature of holdings (both in terms of collections and individual items),

f. artifactual or monetary value of materials.

4. The decision to treat materials on a title-by-title or mass basis rests with the holding institution.
5. Selection of treatment procedures rests with the holding institution but WISPPR preservation specialists will outline options and provide guidance.
6. It is not WISPPR's goal to treat all resources held in Wisconsin libraries or archives.

In order to apply preservation criteria, there must be a uniform definition of preservation which can be applied consistently throughout the state but which also permits the flexibility that the broad range of collections, their missions, and their preservation problems will require. For the purpose of establishing preservation criteria, the Task Force recommends the following definition of the word "preservation" in the context of WISPPR: the reformatting, restoring/repairing, and/or deacidification of print and nonprint library and archival resources, the establishment of preventive measures to assure conservationally sound storage of these materials, and the requisite training of staff and users to assure proper processing and handling of these materials.

WISPPR accomplishes its goals through a two-tiered program which (1) assists individual institutions to address their respective preservation needs through its outreach programs and (2) simultaneously plans and coordinates preservation activities state-wide.

Outreach programs provide WISPPR members with

1. workshops and seminars to train library staff in preservation decision-making and simple in-house repairs,
2. consulting by trained and experienced preservation staff to assist requesting member institutions with assessing the preservation needs of their collections and facilities,
3. disaster prevention planning and recovery assistance,
4. information clearinghouse services through its policy of collecting published and unpublished research on preservation issues and making these materials available online through a national or regional database and through interlibrary loan.

Planning and coordinating activities which will be offered to members will include:

1. suggested procedures for assessing the collections of individual libraries based on individual needs and general criteria,
2. a program to identify collections within the state that are state and/or national resources and determine what measures are required to assure their restoration or preservation,
3. seeking funding for the treatment of materials

determined to be state resources,
4. provide centralized microfilming and treatment facilities.

The justification for inaugurating a preservation program or for establishing institutional priorities for such a program should be based on one or more of the following unranked criteria:

1. heavily used materials,
2. items which are known to be needed to support academic programs and research,
3. items which are of local or regional historical/cultural value or potential value (e.g., diaries, local imprints, town and county histories),
4. items with artifactual value,
5. items with monetary value,
6. collections known to have important scholarly value but which may receive little current use,
7. items which are unique in the State of Wisconsin (i.e. "last copies"),
8. unique collections as defined in Appendix 1.

After preservation needs have been determined, the holding institution will need to prioritize these needs in order to address them efficiently.

In fiscal 1987/88 the WISPPR committee will prepare sample collection assessment procedures for academic, public, and school libraries based on the criteria listed above and using the types of information listed in Appendix 1.

WISPPR's state priorities will parallel local priorities but will not diminish or negate institutional priorities. WISPPR's priorities should be

-- first, to facilitate and coordinate preservation within individual institutions,
-- second, to plan and initiate a coordinated, state-wide cooperative preservation program which will permit the systematic preservation of state resources.

To accomplish this second priority within the various regions in the state, WISPPR should provide a leadership role in identifying the preservation issues confronting library consortia (e.g., South Central Library System, Arrowhead Library System, WCWC, Urban Corridor consortium, etc.). Finally in planning its statewide coordinated preservation programs, WISPPR should determine to what extent it can build on the experience of other cooperative preservation programs and mesh its activities with ongoing preservation efforts in the Midwest or elsewhere in the United States or Canada.

Priorities relating to processing or treatment rest with WISPPR service providers and will be determined by staffing and equipment levels, the overall workflow of the facility, and the needs of the holding institution, but should be flexible and provide all WISPPR members with equitable service.

APPENDIX 1
POSSIBLE COLLECTION SURVEY METHODS TO DETERMINE CRITERA FOR PRESERVATION

1. To determine collection strengths or emphases
   - A. quantitative -- shelflist measurements and analyses
   - B. qualitative
     1. Conspectus/NCIP projects
     2. survey of staff/user knowledge of holdings
     3. CUWL Overlap Studies
     4. DPI Division for Library Services Overlap Studies (Sally Drew)
2. To determine physical needs
   - A. ARL Self-Study
   - B. modified ARL Self-Study
3. To determine rates of use or needs of local programs
   - A. circulation statistics by class number
   - B. in-house use studies by class number or format
   - C. WILS lending statistics for participating members
   - D. DPI Division for Library Services, Bureau for Reference and Loan Services studies and ILL surveys
   - E. survey of existing programs and their dependence on local resources
4. To identify unique materials
   - A. "last copies" -- a title-by-title search of WISCAT, OCLC, and/or NUC
   - B. "unique collections" -- subject collections consisting of both widely held material as well as related individual items known to be scarce or unique, which when viewed in their totality each constitute a whole that is greater than the sum of its parts -- such collections should be identified by a state-wide survey (e.g. that undertaken by the University of Wisconsin-Madison at the time of its 1986 Preservation Conference) and compared to related collections to determine relationships, mutual inclusions and exclusions, overlaps, existing preservation activities, etc.

II.C. Collection Management

II.C.1. Evaluation of Collections

Collection evaluation is an essential element of effective collection development and management. Evaluations may be designed to measure the Library's holdings in comparison with a defined universe of publication, or to assess the collection's usefulness in meeting local program needs. It is important that the goal of an assessment project be defined, and that the method for assessment selected provide an accurate and useful measure. For an introduction to collection evaluation methods, see "Guidelines for the Evaluation of the Effectiveness of Library Collections," Guidelines for Collection Development, American Library Association, 1979.

The Library's collection objectives have been articulated in an earlier part of this manual. These broad statements are translated into specific collection assessments and collection goals in the Library's Collection Development Policy Statement (CDPS), and in the RLG/NCIP Conspectus. In these documents collection level codes have been assigned to each LC class block analyzed, under two headings: "Level of existing collections" and "Collecting policy level" in the CDPS; and "Existing collection strength (ECS)" and "Current collecting intensity (CCI)" in the Conspectus. In both documents the first category presents an assessment of the strength of collections actually in place in the Library for a specified subject field. The second category in each case has been used at Berkeley to represent the collecting level dictated by policy for support of current academic programs. In the process of preparing or revising the CDPS a third category of data is collected -- the actual collecting level achieved in the current budget year. This information is valuable for a systematic analysis of funding in support of collection goals, but it is quickly outdated, as funding changes from year to year. Therefore it is gathered as management data for periodic budget analysis, but is not incorporated into the policy documents. However, if budget shortfalls are persistent, it will be necessary to revise the collecting policy or CCI levels to bring policy in line with available resources.

The collection level assessments of the policy statements are comprehensive in scope, covering the Library's collections in all LC classes. Such broad assessment efforts must of necessity be in large part subjective, as they are based on the judgments of people closely concerned with the collections. The Library must also regularly perform more scientific evaluation studies for discrete areas of the collections. These may be undertaken for various purposes: to measure collection adequacy for changing program needs; to understand and assess users' complaints; to contribute comparable data to cooperative collection development programs; etc. As indicated in the Guidelines cited above, techniques for such evaluation include checking Berkeley holdings against appropriate lists (standard bibliographies, current publication lists, citation indexes, etc.); appraisal by qualified scholars; statistical measures such as shelflist counts and circulation analyses; and others.

The Library is a regular participant in the national shelflist measurement project of the Resources and Technical Services Division, ALA. By means of the shelflist measurement, libraries assess the number of individual titles they hold in some 490 Library of Congress classification groups. Results are published biennially in Titles Classified by the Library of Congress Classification: National Shelflist Count (1985 edition in press) and provide a comparative measure of collection size in the 490 subject fields. (Berkeley's LeRoy Ortopan is the originator of the National Shelflist Count, and editor of the first four editions of Titles Classified....) UC Berkeley also participates in the "verification studies" conducted by RLG/NCIP to test the validity of conspectus responses. These are usually qualitative evaluations in which lists of titles are checked against the library's holdings, and percent of holdings compared with other participants' reports.

Individual collection specialists should be alert to the need to evaluate the adequacy of collections for support of academic programs and should initiate assessment projects to resolve questions relating to their areas of responsibility. Plans for a major evaluation project should be discussed with the AUL/CD at an early stage in order that the need to be addressed, the method proposed, and the desired results can be reviewed before substantial time has been invested in the effort.

II.C.2. Preservation

Provision for the preservation of library collections is one of the most important responsibilities of Collection Specialists. This is particularly true in fields where there are large numbers of books, periodicals, manuscripts, etc., in a deteriorating condition, and where failure to take timely action would result in the irretrievable loss of valuable materials.

Selectors must take into account many factors in evaluating the physical condition of their collections and in identifying materials in need of special handling or preservation treatment. Age and the quality of paper and binding are the most obvious factors in a book's ability to resist deterioration; but other data,such as actual and projected use, replaceability, uniqueness, scholarly and/or bibliophile value, and availability elsewhere, are necessary to select an appropriate preservation option. Evaluation for purposes of preservation is a continuous process for Collection Specialists, and the most essential requirement for adequate preservation surveillance is a detailed knowledge of the collections themselves, particularly those parts that receive the heaviest use and that are most essential to the character and significance of the collection.

The Conservation Department (see also Section III. of this manual) is charged with providing the preservation services necessary to guarantee the continuing physical viability of UCB's collections. Although it cannot provide systematic review of all the collections to determine the physical condition of materials, it does selectively identify deteriorating materials as they are brought to light by other Library departments (such as Circulation) in the course of reshelving, shifting or other materials handling routines. The Conservation Department will contact Collection Specialists to obtain decisions on individual titles requiring preservation treatment; however, Collection Specialists must take the initiative in systematically surveying those areas of the collections in their charge, to identify classes of materials requiring treatment and to participate in identifying treatments that would best preserve the significant features of those materials.

As has been mentioned earlier (Section II.), Collection Specialists should be active in seeking possible sources of funding for support of preservation of their collections. The development of grant proposals by knowledgeable specialists (in collaboration with the Development Office and the Library administration) can be one of the most fruitful sources of conservation funding. Cooperative programs developed with other libraries having strong collections are particularly persuasive in seeking grants; specialists should explore possibilities for working with peer institutions to this end. (See also Section II., Endowment and Gift Funds; and Grant Funds.)

II.C.3. Selection for Storage and Deselection

Just as Collection Specialists must continually monitor their collections for purposes of preservation and treatment of deteriorating materials, they must also review collections for removal to remote storage, since campus-wide space shortages require the General Library to store a significant part of its collections off campus at the Northern Regional Library Facility (NRLF) in Richmond, California. The responsibility for choosing material to be sent to NRLF rests with Collection Specialists, who are called upon from time to time to survey their entire collections for storable books. The principle criterion for storability is low use, but other factors, such as the need for special environmental conditions not available in the General Library, can also influence storage decisions.

III.F. CONSERVATION DEPARTMENT

III.F.1. Mission

The mission of the Conservation Department is to maintain the research collections of the General Library in usable condition for as long as possible, either in original format or in a replacement format, as deemed appropriate by bibliographic and technical specialists.

III.F.2.Organizational Structure

The Conservation Department comprises a librarian with line responsibility for four operating divisions: 1) Conservation Treatment Division; 2) Binding Preparation Division; 3) Preservation Replacement Division; and 4) Library Photographic Service. In addition, the Conservation Department Office employs an administrative assistant and a preservation education librarian/assistant to the department head in a staff position.

The Head of the Conservation Department reports to the AUL for Technical Services and represents the Department at Department Heads meetings, Technical Services Heads meetings, and, on the national level, at meetings of the major conservation organizations.

III.F.3. Functions and Responsibilities

The five operating divisions of the Conservation Department are each responsible for implementing a distinct aspect of the mission of the department.

III.F.3.a.Conservation Treatment Division (Room 9)

CTD staff is responsible for the physical repair and rehousing of both circulating and special collections materials in the General Library. In addition, non-General Libraries may arrange for conservation work on a contract basis.

Two conservators divide responsibility for special collections materials. The paper conservator handles flat paper objects, such as manuscripts, archives, maps, prints, and photographs. Rare books from the several special collections and artifactually important or physically vulnerable items from the general stacks are the purview of the rare book conservator.

The third conservator, for the circulating collections, supervises three technicians, and this unit treats the majority of circulating items sent to CTD for repair. After repair, books are returned to the sending unit or sent on to the UC Bindery for rebinding.

III.F.3.b.Binding Preparation Division (Room 20)

This unit manages the routing of books from General Library units to the UC Bindery. New books in need of physical protection (e.g. unbound pamphlets, paperback volumes, etc.) and serials ready for binding are sent to BPD, where the appropriate binding style is assigned and shipments are coordinated for efficiency. BPD staff works closely with the Bindery to facilitate processing of orders.

III.F.3.c.Preservation Replacement Division (Room 9)

PRD is the unit of the Conservation Department that most frequently cooperates with collection development staff. The Brittle Books coordinator oversees and monitors all phases of the process of replacement, with hard copy or microform, of items deteriorated to the point of unusability. Working closely with subject specialists, the Brittle Books coordinator ensures that the most appropriate replacement format is selected for each title. The coordinator stores unusable items until commercial replacements are obtained, then arranges for withdrawal when that is appropriate.

For titles to be replaced with UCB-produced copy, PRD physically prepares materials for microfilming or photocopying, resolves bibliographic problems, assures that each item is filmed or copied in as complete and clear a form as possible, ensures that bibliographic records reflect format changes, and manages special project budgets.

PRD also coordinates UC Berkeley's contribution to cooperative preservation microfilming projects, such as RLG's Cooperative Preservation Microfilming Project, NEH's Slavic Emigré Project, and others.

III.F.3.d.Library Photographic Service

Library Photographic Service is a self-supporting recharge photography lab capable of producing preservation quality microfilm and photographic prints and negatives for the Library and outside customers. All LPS staff are trained to handle fragile and valuable books, maps, and archival materials without damaging them.

The service's functions are dual, copy photography and microfilming. Photographers operate microfilm cameras and processing equipment, producing all the microfilm for the Department's ongoing Brittle Books Program and special preservation microfilming projects such as the RLG Cooperative Preservation Microfilming Project, and Title IIC supported filming. In addition, LPS can prepare positive copies of UCB microfilm for ILL and Bancroft patrons.

This unit produces custom work for researchers requiring reproductions from the Library's collections, and for outside clients seeking the highest quality negatives, prints, and slides.

III.F.3.e.Conservation Department Administrative Office

The role of the administrative office is to plan for the preservation of the research collections of the General Library, and to review Library plans, policies, and procedures for their impact on the collections. The administrative staff handles routine administrative tasks for the Department and is also available to the General Library to answer general conservation inquiries, to lecture on preservation topics, provide tours of the Department, and to consult on special projects such as planning preservation/collection development projects and collection condition surveys. Other functions are disaster response, monitoring the environment of various libraries, and consulting on preservation matters with the other UC campuses.

III.F.4. Nature of Interaction between the Department and Collection Development Librarians

Most interaction between the Conservation Department and collection development librarians occurs during bibliographer review for replacement of deteriorated titles or when planning or implementing grant funded subject-based preservation projects, such as systematic re-housing of fragile materials. Selectors observing deterioration within subject classes may contact the Head of the Conservation Department at 2-4946 to plan for preservation on a mass scale.

Bibliographers' responsibility to review deteriorated titles in their subject areas intersects the greatest preservation problem facing libraries today: the progressive embrittlement of paper-based records at the rate of about 1% per year. For

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Berkeley, that means about 50,000 volumes per year become too fragile to use.

Review of deteriorated materials is a regular responsibility of all Collection Specialists. The Brittle Books Coordinator calls each bibliographer for a meeting when sufficient books in that subject area have accumulated, and together they review the replacement options on a title-by-title basis and decide whether to withdraw the title after replacement. The decision to withdraw and/or replace can be a difficult one, but avoiding the decision will only produce larger problems in the future. It is important that bibliographers allow time in their schedules to perform this essential task, since delay can lead to neglect of various subject areas that may be impossible to ameliorate.

Other Conservation/Collection Development interactions may take place when selectors observe deterioration of specific items. Bibliographers who wish to forward cataloged titles or volumes for repair should first check them out via Circulation to CTD, and include a completed binding slip with the item. Uncataloged volumes (newly accessioned) that present preservation questions may be referred to conservators for advice on treatment prior to cataloging. Approval books that are in poor condition should be evaluated by a conservator or the Brittle Books coordinator before acceptance. Bibliographers may call any of the three conservators or the Brittle Books coordinator at 2-8842 with questions.

III.F.5. List of Relevant Documents Outlining Departmental Procedures that should be Understood by Collection Development Librarians

Preservation Replacement Decision Form

Technical Order 11-83: Preservation Replacement of Brittle and Damaged Library Materials, May 2, 1983.

Binding Slip

As an overview to the process of preservation microfilming, refer to the RLG Preservation Manual, pages 9-24, 69-71.

UNIVERSITY OF WASHINGTON LIBRARIES

Operations Manual

Policies, Guidelines and Procedures

Vol. IV.
Section C. No. 7
June 24, 1981

Replacement - Collection Development[1]

POLICY

Material which will be withdrawn as missing, damaged, or checked out and not returned, or lost by the borrower at the time of replacement or which is already withdrawn will be considered for replacement by the responsible selector[2] within the framework of the current collection development policy for the affected collection. Although the Libraries recognizes its resource sharing responsibility, the increasing costs of library materials, space limitations, and developing technologies supportive of increased resource sharing activities must be taken into consideration when making decisions regarding replacement. Each replacement consideration must be weighed carefully, and is subject to the same criteria prescribed for the evaluation of new material being considered for addition to the collection.

The Libraries will usually replace newly acquired material which is lost in processing, circulating copies of University of Washington theses and dissertations, material of particular value to the study of the Pacific Northwest, and current editions of standard reference works.

Archival copies of University of Washington theses and dissertations, material required for reserve use, and lost materials which have been loaned to the Libraries, either by individuals or through Interlibrary Loan, are the only categories of material which are automatically replaced.

Guidelines for decision making

1. In replacement decisions, the most important factors to be considered are:

    A. Research and teaching value of the publication.

    B. Intensity of demand by primary user group.

2. Other factors which require consideration are:

    A. Whether the material is of value to the collection because of its substantive intellectual content, its artifactual nature, or both.

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[1] For procedures, refer to Operations Manual, Vol. III, Sect. B, No. 2, "Discard, Withdrawal and Replacement."

[2] Refer to: Operations Manual, Vol. IV, Sect. C, No. 1, "Collection Development Responsibility."

B. Availability of another copy within the system in the original or an alternate format, and its bibliographic access.

C. The distinctiveness of the work in the edition under consideration for replacement, and the availability o other editions, particularly later editions, within the system.

D. Availability of other works of a similar nature within the system.

E. In-print status.

F. Cost of replacement including processing cost.

G. Availability through resource sharing.

H. Any criteria which apply to current acquisitions including limitations on duplication, unit price, etc.

3. Once the decision to replace has been made, the item should be acquired in the most economical format -- original edition, microform, reprint, photocopy or alternative format -- which is practical and consistent with the nature and intensity of expected use.

Guidelines for collection responsibility[1]

1. Suzzallo Main Collection:

The Circulation Division is responsible for notifying appropriate selectors of items withdrawn from the Suzzallo Main Collection. Any information which indicates demand and usage is included with the notification. The selector is responsible for making the decision regarding replacement and the replacement format, for signing and forwarding the order to Acquisitions Division or Serials Division, and for any further decisions regarding want listing, etc. The selector only reports back to the Circulation Division regarding the final decision for unbound serial issues since this information is needed for binding purposes. For replacement orders which are not initiated as a result of information from the Circulation Division, a selector must check with the Collection Maintenance Technician or Circulation Supervisor in the Circulation Division to establish that the item is actually missing.

2. Suzzallo Periodical Collection:

Replacement decisions for general periodicals are the responsibility of the Head, Periodicals Section. The Head, Periodicals Sections, will notify the appropriate subject or area studies selector of the need for a replacement decision concerning other material shelved in Periodicals, with final responsibility for decision-making being the responsibility of the subject or area studies selector.

3. Newspapers-Microforms Collection:

The staff member in charge of the Newspapers-Microforms will notify the Head of the Newspaper Committee for consultation with the appropriate subject or area studies selector regarding the need for a replacement decision.

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[1] Refer also to the guidelines regarding conferral with other selectors as outlined in Operations Manual, Vol. IV, Sect. C, No. 1.

CONSERVATION UNIT SERVICES

University of Michigan Library

PROBLEM	TREATMENT	DESCRIPTION	TIME
Corners of boards damaged	CORNER REPAIR	Damaged corners stiffened, and reinforced with leather or cloth	Leather: 2 hours/book Cloth: 1 hour/book
Boards warped Documents wrinkled	FLATTENING	Warped books or wrinkled paper relaxed through humidification, and pressed flat	15 minutes
Tape adhered to book or paper	TAPE REMOVAL	Tape lifted by means of moisture or chemical solvents	2-10 minutes/2" piece
Acidic backing adhered to map or document	BACKING REMOVAL	Harmful materials separated from paper by soaking in water	1 hour
Cover of book broken at hinge	REBACKING	Original broken covers reincorporated into a sound binding of leather or cloth	Leather: 10 hours Cloth: 5 hours
	REBINDING	Books whose bindings cannot or need not be saved given new bindings, using materials, methods and design appropriate to the individual item	2-7 hours
Pages loose or separated	RESEWING	Books with intact folds but broken thread disbound and entirely resewn	2-3 hours (in additio to binding
	MENDING & RESEWING	Books with torn inner folds disbound, mended, and entirely resewn	4-6 hours (in additon to binding
Pages, maps or documents soiled or acidic (sometimes indicated by yellowness or brittleness)	WASHING & DEACIDIFICATION	Paper cleaned by immersion and treated in an alkaline solution to prevent further deterioration. Before treatment, books must be disbound and inks tested for fastness	40 minutes/document 4-8 hours/book
	DRYCLEANING & NONAQUEOUS DEACIDIFICATION	Paper with fragile inks, or too brittle to immerse, cleaned and neutralized without means of water. More appropriate for unbound items than for books.	10-20 minutes/documen
Paper torn or fragmented	HEATSET TISSUE MEND	Paper repaired or backed by lamination under pressure with a transparent, acid-free, reversible (can be removed if necessary) tissue. Book pages must be removed from book for treatment. Full heatset reinforcement is a good solution for extremely fragmented paper that would require extensive individual mends if done by hand	5 minutes/page
	JAPANESE TISSUE MEND	Repair and filling of paper performed by hand with paste and handmade tissue. More appropriate than heatset mending for older paper with a distinct surface texture, or with a printing impression	5-15 minutes/page
	LEAFCASTING	Holes filled with wet paper pulp and pressed dry, leaving intact sheets. Book pages must be removed from book for treatment	1 hour/page

PROBLEM	TREATMENT	DESCRIPTION	TIME
Materials that will not necessarily be restored need added protection to survive use	MYLAR ENCAPSULATION	Documents protected for handling in pockets of clear, chemically stable polyester sealed on all or some sides. Paper is enclosed, not bonded, so can be removed at any time if necessary	15 minutes
	POST BINDING	Cloth-covered binding with screws and posts made to attach many encapsulated documents that should remain together in a more integral way than in a box	7-9 hours
	MOUNTING	Heavily-used maps reinforced with acid-free cloth	15 minutes
	MATTING	Prints or documents hinged and matted in acid-free museum board	1 hour
	MANUSCRIPT BOX	A folding cloth-covered box made to protect a valuable binding or a rebound book along with its artifactual components. This can also be an option for a group of matted prints or other items that should be stored together but cannot be bound	4 hours
Live mold	FUMIGATION	Materials treated with non-toxic vapor (orthophenyl-phenol) in an airtight chamber to kill mold	4 days
Insect infestation	FREEZE-EXTERMINATION	Materials submitted to -50 F temperature to kill insects in adult, larva, or egg stage	3 days
Water damage	AIR DRYING	Damp materials interleaved or stood up in circulating air until dry	3 days
	FREEZE-DRYING	Wet materials submitted to cycle of freezing at -50 F and defrosting to remove water	30 days

University of Michigan
Library

University of Michigan Library

BOOK REPAIR UNIT TREATMENTS

With the exception of wraparounds, all of these treatments are for non-rare material

TREATMENT	DESCRIPTION	USE	TIME	COST
MEND PAGES	Tears are joined with strong tissue or with archival (removable, acid-free) tape.	Books whose pages, if repaired, are strong enough to withstand considerable future use.	3 minutes per page	$.45/page
TIP IN LOOSE LEAVES	Pages are attached or reattached in their proper positions, by means of glue or a strong tissue hinge. Photocopied pages are prepared by trimming and aligning.	Books lacking up to 10 pages.	2 minutes per page 5 minutes per xerox	$.30/page $.75/xerox
REPAIR HINGE	A loose hinge (where the cover bends from the book in the inside) is glued down.	Books needing only regluing at the inside hinge. Hinge has been loosened, not broken.	10 minutes per book	$1.50/book
REPAIR SEWING	Breaks in the thread are mended by additional sewing.	Books with sewing basically intact, except for minor thread breakage in first or last pages.	30 minutes per break	$4.50/brea
RETAIN SPINE	Original spine or label glued onto new case. Replaces hand-lettered title.	Spines in good condition (not worn or torn) that have unusual or attractive features meriting retention.	No extra time; replaces lettering	
REATTACH CASE	The book is reinserted into its original cover, and given new endsheets.	Cover is completely intact and in good condition, but has separated from the book because of broken hinge or hinges.	45 minutes per book	$6.75/book
RECASE	The original covers are discarded and a new cloth binding and new endsheets are made. New title lettered.	Books with sound sewing but a damaged cover, THAT CANNOT BE COMMERCIALLY REBOUND.	60 minutes per book	$9.00/book
WRAPAROUND	A folding box is made to size from acid-free board, to protect materials that could not otherwise be handled. Velcro closure. No lettering; call no. applied in Labeling Dept.	Valuable books requiring special care; books deteriorated beyond the point of treatment but which cannot be replaced.	15 minutes per box	$2.25/box
STAPLE BIND	A stiff, acid-free cover is attached to a pamphlet too thin to bind, by means of wire stapled through the fold or through the side. Covers for books larger than 11" x 14" made by hand.	Books or pamphlets on good paper, no more than 3/4" thick, and with no less than 1/2" inner margin.	10 minutes 30 minutes (oversized)	$1.50/book $4.50/book

REPLACEMENT DECISIONMAKING CONSIDERATIONS 9/85
THE UNIVERSITY OF MICHIGAN LIBRARY

Physical Condition

paper brittle
sewing broken
covers detached
hinge broken
other damage
cosmetic damage only

Physical Value

first edition of important work or author
important edition; standard work
historical value; early imprint
color plates or half-tone illustrations valuable as originals
unusual or important binding
inscription by author or notes in margin of interest

Probable use

Circulation history ; frequent, recent use?
Reference use vs. cover to cover reading
Information superseded or available elsewhere

Importance to the Collection

Strong area of MIU collection
Long term faculty interest
Relevance to current or anticipated teaching/research needs
Unique material or not widely held

Cost of Repair/Replacement

Estimated cost of repair vs. cost of reprint/microform/photocopy and processing. Would the Library spend this amount to acquire the volume today if it were a new publication?

The University of Michigan Library

revised 4/85

PRESERVATION DECISIONMAKING OPTIONS

I. IF THE PAPER IS BRITTLE (i.e., the pages break after 2-4 corner folds):

A. Order a reprint or commercial microform whenever available if one of the following applies:

1) evidence of recent or substantial past use.
2) subject or author of importance to the University of Michigan collection.
3) standard work or significant edition.

B. When a commercial replacement is not available, send the volume for filming if any of the above criteria apply or if the title is unique or not widely held.

C. Order a preservation photocopy if the item is not available commercially and one of the following applies:

1) it is heavily used and less than 100 pages long.
2) the type of use the volume receives makes it unsuited to microform.
3) it is part of a set and the rest of the volumes in the set are in good condition.

D. Send the item to be withdrawn if one of the following applies:

1) the information has been superseded and is of no historical interest.
2) the subject is no longer within the scope of the University of Michigan collection and the item is unlikely to be wanted by another library.
3) filming has been completed or an exact replacement purchased and the original copy is too deteriorated for further use.
4) the Library owns other copies in good condition.

E. Have the volume transferred to storage after a microform replacement has been received and inspected only if:

1) it contains color plates, maps, or other illustrations which cannot be adequately reproduced in microform.
2) its condition is such that the volume will probably be useable for at least another ten years.
3) it has features such as those listed in IIA which give it value as an artifact.

II. IF THE PAPER IS STRONG:

A. Send the item to the Conservation Unit if the binding or sewing is broken or damaged and one of the following applies:

1) a first or valuable edition.
2) a pre-1800 imprint of historical interest.
3) color plates or other illustrations valuable as originals.
4) an unusual or important binding.
5) inscriptions by the author or noteworthy marginalia.

B. Send the item to the Book Repair Unit if it is of little artifactual value, cannot be rebound commercially (i.e., has less than ½ inch inner margin) and one of the following applies:

1) sewing broken
2) covers detached
3) pages loose or torn
4) hinges weakened
5) spine badly torn

C. Send the item to the Book Repair Unit if the margin is adequate for commercial binding (½") but only the following problems exist:

1) fewer than five pages detached
2) hinge loose but not broken
3) pages torn

D. Send the volume to Bindery Preparations if it is a post-1850 imprint of no artifactual value, it has at least ½" inner margin, and one of the following applies:

1) sewing broken
2) covers detached or very worn
3) spine badly torn

E. Return the item to the stacks if the damage is cosmetic (i.e., binding and sewing are intact and pages are not torn) or if the damage is minor and there is little evidence of use.

F. Have the item transferred to storage if it is artifactually valuable (see II A) and not in need of repair but judged to be deserving of additional security or better environmental storage conditions.

III. REFER TO THE DEPARTMENT OF RARE BOOKS AND SPECIAL COLLECTIONS ANY ITEM WHICH FALLS WITHIN ITS GUIDELINES FOR CANDIDATES TO BE CONSIDERED FOR INCLUSION IN THE RARE BOOK COLLECTION.

THE MILTON S. EISENHOWER LIBRARY
THE JOHNS HOPKINS UNIVERSITY
BALTIMORE, MARYLAND 21218

COLLECTION MANAGEMENT: PRESERVATION. JOHN F. DEAN

ROUTINE EXAMINATION OF BOOKS AND POSSIBLE TREATMENT OPTIONS

Whenever a book is handled by staff in the library, its general condition should be examined and appropriate steps taken to correct any deficiencies. Opportunities for examination occur most frequently after reader use (at the point of reshelving or after circulation), and during furbishing. While all staff involved in handling should be capable of detecting deficiencies, only the Preservation Officer or his/her appointee should decide on treatment.

Examination. This should be thorough, but done quickly enough to be efficient.

Examination should normally consist of the following:

1. Binding. Check whether spine is loose, torn or detached. Check whether case or individual boards are loose or partially detached. If boxed or cased, check completeness and condition of contents, and effectiveness of box or case.
2. Text Block. Check for loose or damaged pages, illustrations, inserts. Check whether paper is badly embrittled (i.e. will not withstand a double corner fold) or mouldy (i.e. limp with dark or coloured spotting).
3. Label. Check whether classification number label is secure and legible. Check whether mark of ownership is clear.

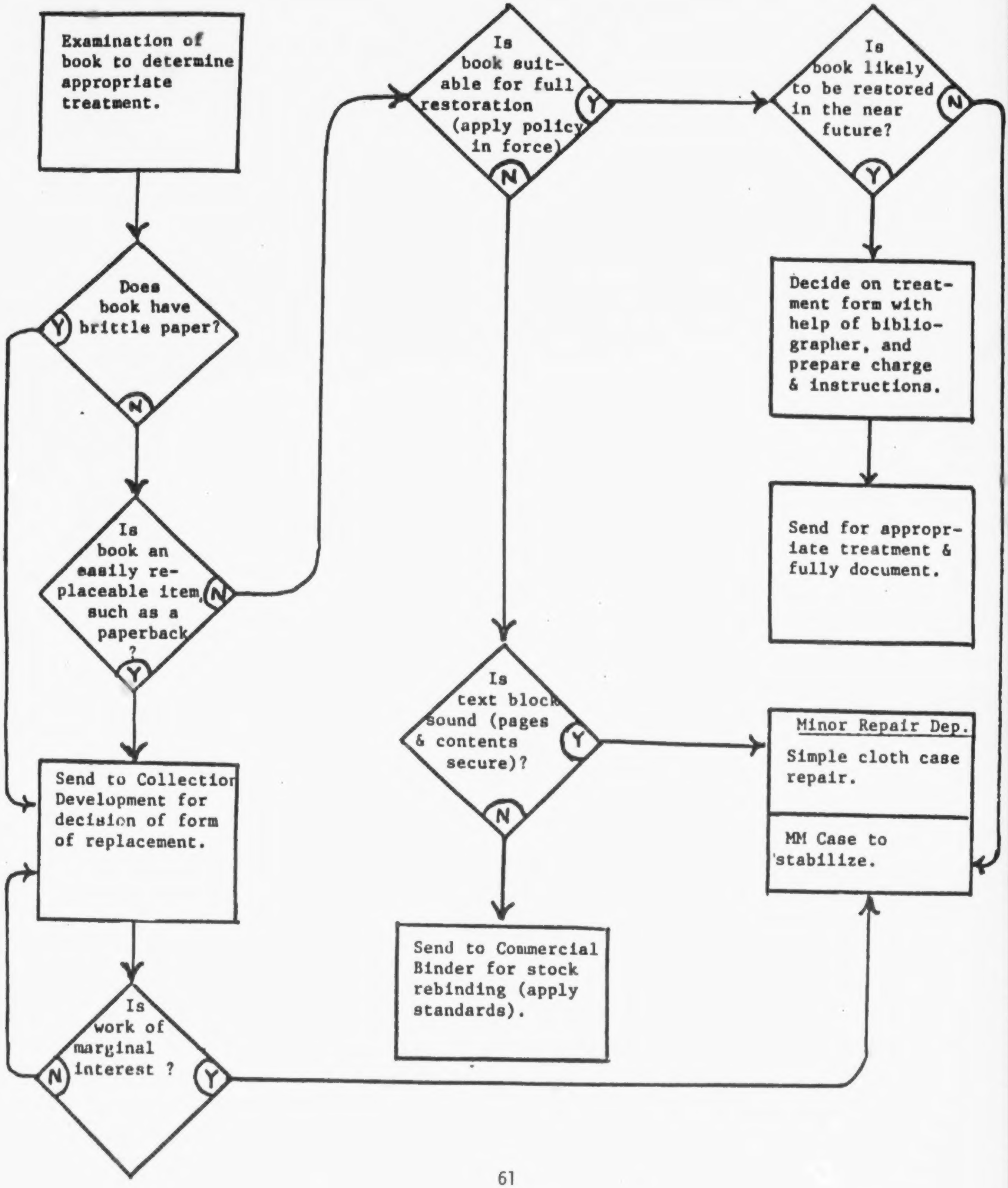
Books suffering from any of these deficiencies should be set aside for daily examination by the Preservation Officer.

Treatment Decisions. The specific nature of the treatment decisions depends upon the options available to the library. The attached "Transfer Decision Chart" assumes the existence of a collection development mechanism, minor repair units, and funds and/or facilities for restoration. A possible option is shown for books falling into the restoration category for those libraries without immediate likelihood of treatment funds or facilities.

It is extremely important that the Preservation Officer ensure that immediate remedial action is taken to return books to the shelves. Repair resources should be matched to demand, and proper charges should be kept.

JOHNS HOPKINS UNIVERSITY

PRESERVATION OFFICER. TRANSFER DECISION CHART


Examination of book to determine appropriate treatment.
Does book have brittle paper?
Y
N
Is book an easily replaceable item, such as a paperback ?
N
Y
Send to Collection Development for decision of form of replacement.
Is work of marginal interest ?
N
Y
Is book suitable for full restoration (apply policy in force)
Y
N
Is text block sound (pages & contents secure)?
Y
N
Send to Commercial Binder for stock rebinding (apply standards).
Is book likely to be restored in the near future?
N
Y
Decide on treatment form with help of bibliographer, and prepare charge & instructions.
Send for appropriate treatment & fully document.
Minor Repair Dep.
Simple cloth case repair.
MM Case to stabilize.

FROM: **Conservation Treatment Procedures: a Manual of Step-by-Step Procedures for the Maintenance and Repair of Library Materials** by Carolyn Clark Morrow and Carole Dyal. Littleton, Colorado: Libraries Unlimited, Inc., 2nd edition in press, 1986.

Appendix 1
Decision-Making Checklist for Book Repair

The decision-making process for book repair involves asking questions to be answered by examining the book. Most of these questions can be answered easily because most repair problems are routine and quickly identified. However, individual decisions are still made on the basis of expected use, book condition and structure, available options, and costs.

Seriously deteriorated items that cannot be easily repaired in-house should enter a different decision-making process. This category would include brittle books (paper suffering from acid deterioration) or books that would require hours of tedious repair or treatment. In addition, some items may need treatment that is beyond the expertise of local personnel. The issues of withdrawal, retention and extensive conservation treatment, or reformatting are collection development decisions more appropriately left to bibliographers, subject specialists, or collection development officers.

The following questions are representative of the decision-making process. In practice, the answers usually come automatically and decisions can be made quickly and efficiently.

How Is the Book Constructed?

1. Is the book small, average, or large? How will it be shelved? Is the text block thick or thin?
2. What is the method of leaf attachment? Sewn-through-the-fold? Sewn over tapes? Adhesive-bound? Side-sewn? Oversewn?
3. Is the page attachment intact, or is the text block broken apart or loose and separated in spots?
4. Is the text block rounded and backed or flat backed? Has the spine become concave or started to sag?
5. How wide are the inner margins?
6. Is the original binding on the book or has it been rebound?
7. Has the book been previously mended? With what materials? Are the mending materials permanent, or are they causing damage or stress to the structure of the book?

Is the Cover Protecting the Text Block?

1. Is the text block loose in its case?
2. Are the endsheets torn at the hinge?
3. Is the super intact or is it torn?
4. Have endsheets or super lifted away from the coverboards?
5. Are the linings on the spine adequate? Are they deteriorated or detached?
6. Is the cover material made of cloth, paper, leather, or a combination of materials? Is the cover soiled or torn? Is it seriously faded?
7. Is the lettering on the spine legible? Is the call number legible?
8. Are the hinges of the cover deteriorated or torn?
9. Is the head or tail worn?

10. Are the corners of the cover broken? Frayed? Worn and rounded?
11. Has the cover been vandalized? Spilled on, dog-chewed, slashed, or soaked?

What Is the Condition of the Paper?

1. Is the paper strong and flexible? Is it soft, pulpy, and weak? Is it brittle, e.g. does it break off when a corner is flexed to and fro?
2. Is the paper coated? Slick and glossy? Does the book contain plates printed on coated paper?
3. Are there torn pages?
4. Has the paper been mended with pressure-sensitive tape?
5. Is there evidence of acid migration from the cover or endsheets onto the text block?

Does the Book Have an Unusual Format or Other Feature?

1. Are the endsheets important to the content of the book (e.g., maps or illustrations)?
2. Are there plates or maps? Are any missing? Are any loose?
3. Are there missing or mutilated pages?
4. Are there pages or plates that fold at the fore-edge? Are there maps that fold out?
5. Is there pocket material?
6. Are there loose errata slips?
7. Have the bolts of the sections been cut?

How Will the Book Be Used?

1. Will the book be heavily used? Will it be infrequently used?
2. What is the subject of the book?
3. What is the date of publication?
4. Is it a reference book? How is it used?
5. How often has the book circulated in the past year? Past five years?
6. Are there other copies in the library? In what location?
7. Are there newer or older editions of the work? Does the library own them?
8. Has the book been reprinted?
9. Will this edition be superseded? When?
10. Is the book part of a multi-volume set? Have any of the other volumes been previously rebound or repaired?
11. Is the book one volume of a serial publication? What is the condition of the rest of the holdings?

What Will It Cost to Repair the Book?

1. Can the book be easily repaired?
2. Does it need to be repaired quickly?
3. How much time would it take to repair it? How much would the materials and labor cost?
4. Who can do the work? How quickly can it be done?

Are There Other Options Besides Repair?

1. Could the book be recased at a library bindery? Would that be cheaper or more appropriate than repairing the book in-house?
2. Could the book be rebound at a library bindery? Hand-sewn through the fold? Oversewn? Adhesive-bound?
3. Would a protective box or portfolio be more appropriate than repair?

YALE UNIVERSITY

GUIDELINES FOR DECISION-MAKING:

DETERIORATED LIBRARY BOOKS

The quality of paper in poor condition books is an all-important factor to the final disposition of the physical volumes. A single or double fold of the corner of an inside page is a basic test of brittleness. Although there is a large category of borderline paper which will soon become brittle, good paper will be obvious from its whiteness, flexibility and strength. The importance of the subject and artifactual value of any single title is entirely within the expertise of the subject specialist, but the options listed below may help in choosing the final solution taking into account paper quality.

The primary options are:

Replace: The original volume will be withdrawn after a new reprint or microform is purchased and cataloged for the collection

Reproduce: The original volume will be withdrawn after a reproduction has been made in-house in either hard copy or microform and cataloged for the collection. At present, a hard copy reproduction of a 300-page book with text width for an opening less than 9" will cost $13.50[1] while a volume with a wider text area will cost $22.50.[1] A negative master and positive service copy microfilm of a 300-page volume will cost about $25.50.[1]

Repair: The volume will be sent to the Conservation Studio for rebinding, rebacking, or repair. Their costs are $11+ per hour.

Rebind commercially: Most volumes which can be commercially rebound will have been sent through already; volumes with a strong and intact textblock may be bound commercially.

Retain as is: A wraparound option is available for volumes in poor condition which are important as artifacts but not worth the considerable costs of full repair. The textblock is usually consolidated before building the wraparound with the boards placed with it loose. This is an interim measure. Making the wraparound costs about $4-5.

Discard: The volume is withdrawn from the Yale collection and usually placed in the book sale at a minimal price. (The crumbling dreadfuls may be thrown out by Gifts and Exchanges before the sale.) Call numbers are marked out, the date due slip is removed, and a "withdrawn" stamp is placed on the title page and the bookplate.

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[1] These figures represent direct costs and not overhead. The Xerox cost includes cost of photocopier's labor, paper, machine rental costs (at $.06 per opening) and binding (at $4.50 per volume). The microfilm cost includes only the Photographic Services charges of $.15 per opening for the negative and an average of $3 for the positive copy.

Transfer: Volumes which may be appropriate for the Beinecke Rare Book collection or any other library unit may be referred to the appropriate curator. If the volume is accepted, the appropriate catalog card changes are made. It is helpful to make an alternative decision if the volume is not accepted.

If the volume is to be kept and is printed on GOOD paper, it should not be replaced or reproduced.

If the title is to be kept and is printed on POOR or BRITTLE paper, it should not be repaired, rebound commercially or retained as is unless it is valuable as an artifact.

Points which may be helpful in making decisions include the following:

Paper quality (repairable?)

Unique material (ownership marks, marginalia, inscriptions/signatures, notes, plates, introduction)

Other editions[2] (duplicate contents, in good condition)

Relationship to collection[2] (Subject importance, location in other units)

Amount of use (date due slip)

Type of use (will it be read heavily and in its entirety, will it be used as a reference tool, will it be used rarely)

Availability[2] (in reprint or microform)

Cost of replacement/reproduction/repair[2]

Rarity/ value as an object

---

[2] This information is provided by the preservation search.

RESPRSMR RESPRSRR RESPRSMC
RESPRSXO RESPRSXI RESPRSRP

The Ohio State University
Libraries
Preservation Office

SEARCH FORM FOR PRESERVATION REPLACEMENT: MONOGRAPH

Order Record:

Possible suitable replacements available/source:

Notes:

LCS holdings statement:

See LCS printout attached

Replacement search results:

Hard copy: A T
BIP ________
BIP Suppl. ________
Forthcoming ________
GTR ________
BBIP ________
other:

Notes:

0 = not listed
X = listed/available
- = not searched

0177w

Microform: A T
NRMM (65-75) ________
(1976) ________
(1977) ________
(1978) ________
(1979) ________
(1980) ________
(1981) ________
(1982) ________
(1983) ________
BOD ________
NUC fiche ________
NYPL fiche ________
GMIP ________
GMIP Suppl. ________
MA ________
other: ________
Notes:

Bibl. Util.: A T
RLIN fiche ________
RLIN on-line ________
OCLC ________
other: ________
(specify)

Rarity/Sarcity:
NUC pre-56 search:
more than 6 holding libraries?:
NUC: ________
if 5 or fewer, list locations
NUC: ________

("Curatorial Review and Decision" ... see over)

CURATORIAL REVIEW AND DECISION:

Selector's instructions to Preservation Office staff: (mark appropriate area)

1. Order microform available: _______ for this edition only; _______ for any edition.
Fund : ________ (Charge to RESPRSMR)

2. Order reprint available: _______ for this edition only; _______ for any edition.
Fund : ________ (Charge to RESPRSRR)

3. Create microfilm (for those not available as commercial replacement): _______.
Fund : _________ (Charge to RESPRSMC)

4. Create photocopy facsimile (for those not available as commercial replacement): _______.
Fund : _________ (Charge to RESPRSXO (xerox outside) _____
RESPRSXI (xerox inhouse) _____)

5. Disposition of original (for items being replaced): _______ withdraw from collection
_______ provide enclosure, reshelve
_______ Other:

6. Do not replace, instead: _______ provide enclosure, reshelve (Charge to RESPRSRP)
_______ withdraw from collection

7. Other:

Selector ___________________________ Date: __________

PRESERVATION OFFICE DISPOSITION: cite date completed: indicate with a "✓" when included in statistics; initial.

1. Replacement search completed _________________________

2. Replacement microform order sent to MAD: ____________________

3. Replacement hard copy (reprint) order sent to MAD: _______________

4. Page-by-page collation for "create film" and "create photocopy" items:

_______ complete; _______ pp. missing: _______ ILL pages ordered, _______ ILL pages received

5. Sent to be filmed _______________; Rec'd _______________; Inspected _______________.

6. Sent for photocopy facsimile _______________; Rec'd _______________; Inspected _______________.

7. Sent to cataloging _______________.

8. Disposition of original: repaired, sent to stacks __________; enclosure, sent to stacks ________

sent for withdrawal __________; transferred to __________;

IF IN DOUBT ... OBTAIN SELECTOR'S APPROVAL FOR ANY TREATMENT OR DISPOSITION.

0177w wlb

SEARCH FORM FOR PRESERVATION REPLACEMENT: SERIAL

The Ohio State University
Libraries
Preservation Office

Order Record:

Possible suitable replacements available/source:

Notes:

LCS holdings statement:

(See attached printout from automated catalog.)

Replacement search results:

Hard copy:

BIS ________

GTR ________

Notes:

O = not listed
X = listed/available
- = not searched

Microform:

SIM ________

NRMM (65-75) ________
(1976) ________
(1977) ________
(1978) ________
(1979) ________
(1980) ________
(1981) ________
(1982) ________
(1983) ________

GMIP ________
GMIP Suppl. ________

NST ________
MA ________
other: ________
Notes:

Bibl. Util.:

RLIN fiche ________
RLIN on-line ________

OCLC ________
other: ________

Rarity/Sarcity:

NUC pre-56 search/
ULS/CRL search:
more than 6 holding libraries?:

NUC: ULS:

if 5 or fewer, list locations

NUC:
ULS:

CRL holdings:

("Curatorial Review and Decision" ... see over)

CURATORIAL REVIEW AND DECISION:

Selector's instructions to Preservation Office staff: (mark appropriate area)

1. Order microform available: ______ for this edition only; ______ for any edition.

Fund : ________________

2. Order reprint available: ______ for this edition only; ______ for any edition.

Fund : ________________

3. Create microfilm (for those not available as commercial replacement): ______.

4. Create photocopy facsimile (for those not available as commercial replacement): ______.

Fund : ________________

5. Disposition of original (for items being replaced): ______ withdraw from collection

______ provide enclosure, reshelve

______ Other:

6. Do not replace, instead: ______ provide enclosure, reshelve

______ withdraw from collection

7. Other:

Selector ______________________ Date: ________

PRESERVATION OFFICE DISPOSITION: cite date completed: indicate with a "✓" when included in statistics; initial.

1. Replacement search completed ____________________

2. Replacement microform order sent to ACQ: ________________

3. Replacement hard copy (reprint) order sent to ACQ: ____________

4. Page-by-page collation for "create film" and "create photocopy" items:

______ complete; ______ pp. missing: ______ ILL pages ordered, ______ ILL pages received

5. Sent to be filmed ____________; Rec'd ____________; Inspected ____________.

6. Sent for photocopy facsimile ____________; Rec'd ____________; Inspected ____________.

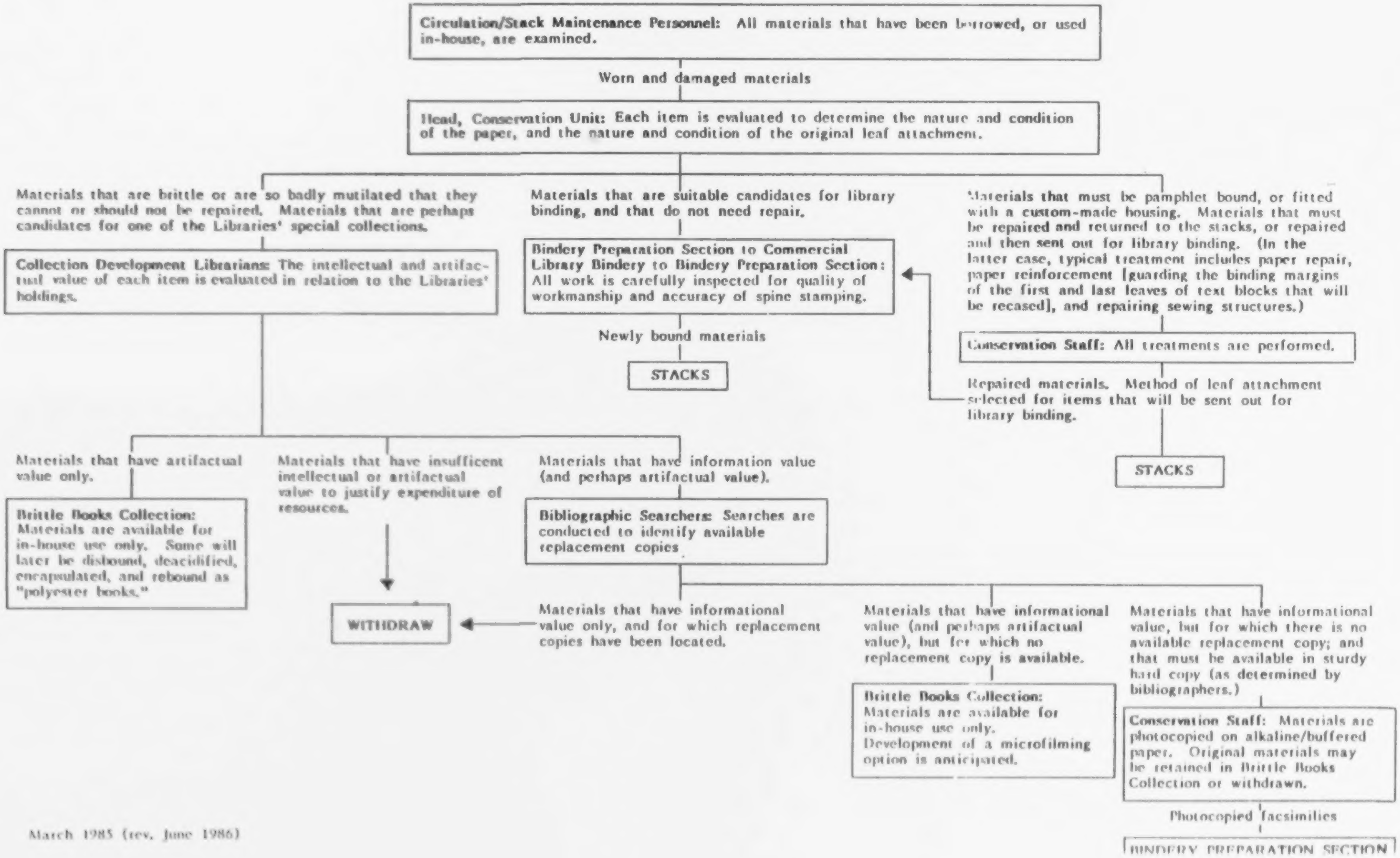
7. Sent to cataloging ____________.

8. Disposition of original: repaired, sent to stacks ________; enclosure, sent to stacks ______

sent for withdrawal ________; transferred to ________;

IF IN DOUBT ... OBTAIN SELECTOR'S APPROVAL FOR ANY TREATMENT OR DISPOSITION.

WORK FLOW FOR WORN AND DAMAGED MONOGRAPHS FROM THE GENERAL RESEARCH COLLECTIONS
HOMER BABBIDGE LIBRARY, UNIVERSITY OF CONNECTICUT



Circulation/Stack Maintenance Personnel: All materials that have been borrowed, or used in-house, are examined.

Worn and damaged materials

Head, Conservation Unit: Each item is evaluated to determine the nature and condition of the paper, and the nature and condition of the original leaf attachment.

Materials that are brittle or are so badly mutilated that they cannot or should not be repaired. Materials that are perhaps candidates for one of the Libraries' special collections.

Collection Development Librarians: The intellectual and artifactual value of each item is evaluated in relation to the Libraries' holdings.

Materials that have artifactual value only.

Brittle Books Collection: Materials are available for in-house use only. Some will later be disbound, deacidified, encapsulated, and rebound as "polyester books."

Materials that have insufficent intellectual or artifactual value to justify expenditure of resources.

WITHDRAW

Materials that have information value (and perhaps artifactual value).

Bibliographic Searchers: Searches are conducted to identify available replacement copies.

Materials that have informational value only, and for which replacement copies have been located.

Materials that have informational value (and perhaps artifactual value), but for which no replacement copy is available.

Brittle Books Collection: Materials are available for in-house use only. Development of a microfilming option is anticipated.

Materials that have informational value, but for which there is no available replacement copy; and that must be available in sturdy hard copy (as determined by bibliographers.)

Conservation Staff: Materials are photocopied on alkaline/buffered paper. Original materials may be retained in Brittle Books Collection or withdrawn.

Photocopied facsimilies

BINDERY PREPARATION SECTION

Materials that are suitable candidates for library binding, and that do not need repair.

Bindery Preparation Section to Commercial Library Bindery to Bindery Preparation Section: All work is carefully inspected for quality of workmanship and accuracy of spine stamping.

Newly bound materials

STACKS

Materials that must be pamphlet bound, or fitted with a custom-made housing. Materials that must be repaired and returned to the stacks, or repaired and then sent out for library binding. (In the latter case, typical treatment includes paper repair, paper reinforcement [guarding the binding margins of the first and last leaves of text blocks that will be recased], and repairing sewing structures.)

Conservation Staff: All treatments are performed.

Repaired materials. Method of leaf attachment selected for items that will be sent out for library binding.

STACKS

March 1985 (rev. June 1986)

Brittle Books Programs

Policy for Preservation Replacement of Brittle and Severely Damaged Library Materials

Many items in the General Library collections are in physical condition too poor to permit normal use without serious risk of damage to, or loss of, parts of the text. The poor condition of the materials can be traced to three causes: 1) paper which has become brittle due to chemical breakdown from inherent or environmental acidity, 2) physical damage as a result of heavy or unusually destructive use, and 3) acquisition of retrospective items which are discovered to be brittle or severely damaged upon receipt.

Occasionally, the replacement of materials in poor condition is either the only or the least costly solution to the problem of providing a usable copy. To coordinate this type of replacement (distinct from the replacement of missing items) the Conservation Department has established the Preservation Replacement Division (PRD).

Severely damaged materials

Identification of materials so badly damaged that the cost of repair could exceed the cost of replacement is made by the staff of the Conservation Department. Identified materials are processed by PRD for curatorial review and searched to determine the cost of replacement relative to the cost of repair.

Curatorial Review

Decisions to replace brittle materials are made by Collection Development staff with the technical advice of PRD. The appropriate selector and the Preservation Replacement Coordinator review the material and choose one or more of the treatment options: 1) withdraw, 2) retain in a box and limit use, 3) replace with reprint, 4) replace with microform, 5) replace with photocopy. Materials from units other than Main will be returned to the appropriate units for decision on treatment options.

The AUL for Collection Development may choose to review requests for replacements over a certain cost.

All items selected for withdrawal are reviewed by the Bancroft Rare Books Curator for possible transferral to Bancroft, before withdrawal procedures begin.

Procedure for Preservation Replacement of Brittle and Damaged Library Materials

1. Identification of Brittle Materials.

All library units should, during regular handling, identify brittle materials to be evaluated for possible replacement. Characteristics which may indicate brittleness are:

- small pieces falling from the book
- crumbling edges of leaves
- yellow or brown colored margins of leaves or entire leaves
- broken or loose leaves

Brittleness can be confirmed by the "double fold test": fold a small corner near the center of the volume back and forth once. If the corner cracks or breaks off the paper is too brittle for repair and must be replaced. Conservation Department staff will confirm this evaluation when they receive the item.

Identification of materials so badly damaged that the cost of repair could exceed the cost of replacement is made by the staff of the Conservation Department. Identified materials are processed by PRD for curatorial review and searched to determine the cost of replacement relative to the cost of repair.

2. Initial Routing to Preservation Replacement Division (PRD).

After materials are identified as brittle or severely damaged, library units route them to the Conservation Treatment Division (CTD), Room 9, Main Library. Routing of these materials is no different from routing of regular repairs, and each volume must be accompanied by a completed binding slip (copy attached).

2.1. Acquisition Department/ Processing Division identifies brittle material as it is received.

2.1.1. Prepare a binding slip for each volume. Use the record number if there is no call number. Include the words "brittle" and ACQ" in the Special Instructions.

2.1.2. Update catalog record with note "Referred to CTD for preservation replacement".

2.1.3. Route item with binding slip to the Conservation Treatment Division, Room 9, Main Library.

2.2. Bibliographic Services Department, Catalog Department, and Serials Cataloging Division staff identify materials while cataloging.

2.2.1. Prepare a binding slip for each volume. Use the record number if there is no call number. Include the word "brittle" in Special Instructions.

2.2.2. Update catalog record with the note "Referred to CTD for preservation replacement".

2.2.3. Route item with binding slip to the Conservation Treatment Division, Room 9, Main Library.

2.3. Circulation Department and other public service units identify material when handled or processed.

2.3.1. Prepare a binding slip for each volume. Include the word "brittle" in Special Instructions.

2.3.2. Check the item out to the Conservation Treatment Division.

2.3.3. Route item with binding slip to Conservation Treatment Division, Room 9, Main Library.

3. Selection of Preservation Replacement Options.

3.1. PRD completes the Bibliographic Information section of the Preservation Replacement Form (copy attached).

3.2. The appropriate Selector and PRD Coordinator review the material and choose one or more of the treatment options listed below, based on a number of factors, including: 1) value of item to the collection, 2) how item is used, 3) other copies held by Berkeley, and 4) physical characteristics, e.g., illustrations, foldouts, etc.

4. Procedures for Implementing Preservation Replacement Options.

The disposition of the original must be determined by the Selector, either Withdrawal (Option 1), or Retention (Option 2), whatever other replacement options are selected.

For all items to be replaced PRD checks material (collation), looking for flaws that prevent in-house reproduction of Berkeley copy. Preservation Replacement form is noted "can copy ours" or "can't copy ours".

4.1. Option 1: Withdraw material.

4.1.1. Appropriate subject selector recommends withdrawal of volume(s), with or without replacement.

4.1.2. All items selected for withdrawal are reviewed by the Bancroft Rare Books Curator for possible transferral to Bancroft, before withdrawal procedures begin.

4.1.3. Material referred from Acquisitions/ Processing is withdrawn after PRD notifies them of the record number of each piece so that the record can be updated.

4.1.4. Cataloged material is returned to the shelving unit to initiate withdrawal procedures.

4.2. Option 2: Retain material and restrict use.

4.2.1. Selector chooses to retain volume(s) and requests a protective enclosure:

4.2.2. PRD routes material to Conservation Treatment Division to be fitted with a protective enclosure.

4.2.3. All boxed items are sent to BSD for marking. Items to be stored in the Main Library locked storage area (the Keep) are flagged to be sent to the Head of Circulation after marking. Items from the branches are returned after marking.

4.2.4. No protective enclosure is requested. PRD routes material to shelving units.

4.2.5. The shelving unit initiates procedures required to restrict circulation of the material.

4.3. Option 3: Replace with commercial reprint.

4.3.1. Appropriate subject selector recommends purchasing reprint volume(s).

4.3.2. PRD routes Preservation Replacement form to the Order Division to search for a published reprint.

4.3.3. Order Division searches for reprints.

4.3.3.1. If reprint is found:

4.3.3.1.1. All titles under $500.00 are ordered without further authorization. Order Division places lien against appropriate fund, notes record with "notify Preservation Replacement Coordinator of price and receipt", indicates whether original will be retained or withdrawn, and returns Preservation Replacement form with "action" section completed with order date and estimated cost.

4.3.3.1.2. Titles over $500.00 are returned to PRD for referral to the AUL for Collection Development for evaluation for possible purchase.

4.3.3.1.3. When item is received, Order Division notifies PRD of receipt date and price of item.

4.3.3.1.4. PRD initiates disposal of original as indicated on Preservation Replacement form.

4.3.3.2. If commercial reprint is not found:

4.3.3.2.1. For monographs where Berkeley copy cannot be copied Order Division attempts to obtain a photocopy from another institution. If it is found, follow procedures 3 a. above.

4.3.3.2.2. When neither commercial reprint or photocopy is found Order Division returns Preservation Replacement form to PRD, noting in "action" section that material is not available, and date.

4.3.3.2.3. Title is reconsidered for Option 4 (Photocopy) or Option 5 (Microfilm).

4.4. Option 4: Photocopy replacement.

4.4.1. Appropriate subject selector recommends obtaining a photocopy replacement of volume(s).

4.4.2. PRD collates material, and obtains needed replacement pages through Order Division.

4.4.3. Material is sent to be photocopied on archival paper. Material is bound then if possible.

4.4.4. Finished copies are sent to Processing Division where an in-process record is created. PRD initiates disposal of original as indicated on the Preservation Replacement form.

4.4.5. Processing Division forwards finished copies to BSD for binding (if necessary), marking, catalog updating (if necessary), and for return to shelving units.

4.5. Option 5: Microfilm replacement.

4.5.1. Appropriate subject selector recommends obtaining microfilm replacement.

4.5.2. PRD routes Preservation Replacement form to the Order Division to search for existing microfilm.

4.5.3. Order Division searches for existing microfilm.

4.5.3.1 If existing microfilm is found:

4.5.3.1.1. All titles under $500.00 are ordered without further authorization. Order Division places lien against appropriate funds, notes in catalog record "notify Preservation Replacement Coordinator", indicates whether original will be retained or withdrawn, and returns Preservation Replacement form with "action" section completed with order date and estimated cost.

4.5.3.1.2. Titles over $500.00 are returned to PRD for referral to the AUL for Collection Development for evaluation for possible purchase.

4.5.3.1.3. When item is received, Order Division notifies PRD of date received and price of item.

4.5.3.1.4. Film is sent to BSD or Serials Cataloging Division for catalog updating and marking.

4.5.3.1.5. PRD initiates disposal of original as indicated on Preservation Replacement form.

4.5.3.2. If existing microfilm is not found:

4.5.3.2.1. Order Division returns Preservation Replacement form to PRD, noting in "action" section that material is not available, and date.

4.5.3.2.2. If original cannot be reproduced, Order Division borrows the title from another institution for in-house reproduction. When complete title is available PRD prepares it for filming.

4.5.3.2.3. PRD fills in Printing Master Workform and assigns the title a Master Negative number, and routes the form to Catalog Department or Serials Cataloging Division.

4.5.3.2.4. Catalog Department and Serials Cataloging Division queue title in the RLIN database and note the queue date on the Printing Master Workform, returning form to PRD.

4.5.3.2.5. Prepared material is sent to Library Photographic Service (LPS) with Authorization for Photoduplication form and partially completed Printing Master Workform.

4.5.3.2.6. LPS produces a microfilm negative (master negative), and a positive service copy. LPS adds reduction ratio and footage information to the Printing Master Workform. The original material is routed to PRD with the positive service copy, the blue copy of the Authorization for Photoduplication form, and the Printing Master Workform. The microfilm negative is routed for final storage at the Northern Regional Library Facility.

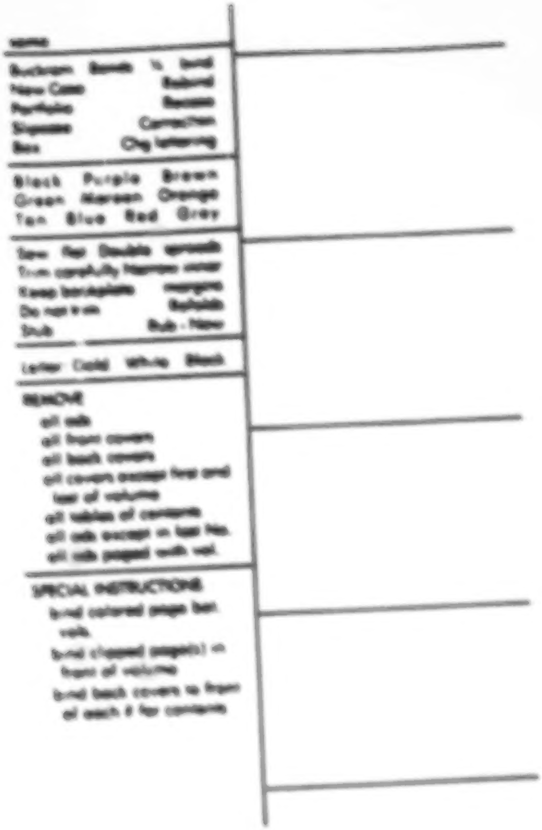
4.5.3.2.7. PRD arranges for fund accounting. For cataloged serial titles, the positive film and the Printing Master Workform are sent to the Serials Database Processing Division for cataloging or conversion.

For cataloged monographs PRD routes the positive film and the Printing Master Workform to the Catalog Department for cataloging or conversion.

For uncataloged originals, PRD routes the original material, the positive film and Printing Master Workform to the Serials Cataloging Division or Catalog Department.

4.5.3.2.8. PRD initiates disposal of original cataloged material as indicated on the Preservation Replacement form.

Serials Cataloging Division and Catalog Department initiate disposal of uncataloged original material as indicated on the Preservation Replacement form.



name

Buckram Bands ½ bind
New Case Rebind
Portfolio Recase
Slipcase Correction
Box Chg lettering

Black Purple Brown
Green Maroon Orange
Tan Blue Red Grey

Sew flat Double spreads
Trim carefully Narrow inner
Keep backplate margins
Do not trim Refolds
Stub Pub - New

Letter Gold White Black

REMOVE
- all ads
- all front covers
- all back covers
- all covers except first and last of volume
- all tables of contents
- all ads except in last No.
- all ads paged with vol.

SPECIAL INSTRUCTIONS
- bind colored page bet. vols.
- bind clipped page(s) in front of volume
- bind back covers to front of each # for contents

AUTHORIZATION FOR PHOTODUPLICATION

Acquisition Department, The General Library, University of California, Berkeley

Date:

MATERIAL SUBMITTED:

TO BE PHOTOCOPIED:

TYPE OF REPRODUCTION:

☐ Photoprint original size; reasonable legibility; adequate margins for library binding.
☐ Microfilm

SPECIAL INSTRUCTIONS:

COMPLETED WORK return to *Photo Order Assistant, Acquisition Dept.*

ORIGINAL MATERIAL: return to *Photo Order Assistant, Acquisition Dept, unless otherwise indicated*

ORDER CARD AUTHORIZED BY:

Order No.

Photographic Service No.

Price: $

WORK ACCEPTED BY:

ORIGINAL ACCEPTED BY:

Charge to:

CONS 60X 3/84

ROUTING:

1. Photo Service/Rapid Copy (with material)
2. Accounts, Acquisition Dept. (with monthly IOC copies)

I. BIBLIOGRAPHIC INFORMATION

Main entry				Call number
Place, publisher, date				Volumes wanted
No. of pages	Edition	Vols. in set	Other CU copies	Circle appropriate choices: Can copy ours Can't copy ours Illustrations Plates Maps
Condition of material		Condition of other vols. in set		

II. TREATMENT OPTIONS (CHECK DESIRED TREATMENT):

A. Withdraw and discard (no copy made) ☐

B. Box & limit to supervised use (irreplaceable material) ☐

C. Obtain replacement ☐ If so, original to be: Retained ☐ Discarded ☐

Regardless of CU holdings ☐	Edition	O. P. option	If more than one o.p. option is acceptable, please indicate priority
Unless CU has other copy ☐	Same ☐	Search ☐	
Unless Main has other copy ☐	Latest ☐	Photoprint ☐	
	Any ☐	Microfilm ☐	

Fund: ____________ Authorization ____________________

III. ACTION:

Routed to:	Date	Option

PRINTING MASTER WORKFORM

HARDCOPY INFORMATION

CALL NO.:

LOCATION:
AUTHOR/AGENCY:

TITLE:

SET TITLE:

YEAR OF PUBLICATION:

STATUS: ☐ RETAINED ☐ STORAGE
☐ WITHDRAWN UCB # ____________
☐ NOT CATALOGED ☐ KEEP

PRINTING MASTER INFORMATION

MNEG CALL NO.: ☐ SERVICE COPY available
FOOTAGE:
REDUCTION RATIO:
YEAR OF PRODUCTION (533≠d):

REEL CONTENT: R.1 ____________
R.2 ____________
R.3 ____________

FILM PRODUCER (other than LPS)
PLACE (533≠b):
NAME (533≠c):

CATALOGING CODES (007)

MMD:d OR:r POL:$\overset{a}{\underset{b}{b}}$ DM:f RR:$\genfrac{}{}{0pt}{}{a---}{b---}$ COL:b EML:a GEN:$\overset{c}{\underset{a}{b}}$ BSE:a

MISCELLANEOUS

MNEG CU SN____________

CU-BANC SN

100

STANFORD UNIVERSITY LIBRARIES

Conservation Office
UNDER REVISION

Stanford Libraries Brittle Books Program

A survey conducted at Stanford in June, 1979 in the humanities and social science collections in the Green Library determined that 26.5% of the collection was so deteriorated as to require immediate attention.

In order to alleviate some of the problems caused by brittle paper, the Conservation Office has designed a Brittle Books Program to route and handle these materials. Once books have been identified as brittle, there are six alternatives available:

1. Discard, based upon value, significance, and holdings of other libraries

2. Replacement, either by new or used copy

3. Protective cover and copy retained

4. Photocopy, in-house or purchased from another source

5. Microcopy, in-house or purchased from another source

6. Restore
7. Phased Deterioration

The final decision is made by individual members of the Collection Development Staff in conjunction with the Conservation Office. A search is conducted by Conservation in the Stanford, University of California, Berkeley, in-print, out-of-print, reprint and micrographic catalogs to provide bibliographers with as much information as possible to choose the best option. After the choice is made, the Conservation Office follows through by ordering or routing materials as described in the Policy and Procedure Manual.

Until mass deacidification and/or the strengthening of brittle paper are possible, the alternatives available to libraries are less than ideal, and involve great costs in time, staff and budgets in order to preserve the intellectual content of vital research material.

Brittle Books Program

Choosing the best alternative for brittle books is often difficult, sometimes because no alternative seems best. The Library of Congress recently published three criteria for general consideration when contemplating the choices available:

1. Physical Condition: How much time is left before the book is irretrievably lost?
2. Scarcity: How many copies exist - what condition are they in?
3. Significance: If this is the last copy on earth, and it will disintegrate tomorrow, is it worth saving?

In light of these criteria, and the searching which was done by Conservation before the bibliographer was asked to make the decision, choices can sometimes be more obvious.

DISCARD

Many times works can be discarded simply because their significance is no longer, or will never be, important. Other times discarding is best because Stanford holds other copies or other editions, or UCB does. Or the book may not be useful for research at Stanford, nor does it seem likely that it ever will be.

REPLACEMENT

Brittle material may be replaced by new editions, reprints or copies in better shape. Sometimes this is more cost effective than microfilming or photocopying, or necessary if portions of the original text have been lost or damaged.

PROTECTIVE COVER AND RETAIN

Occasionally material is deemed important enough to retain in its original state. If it is extremely fragile, it is wrapped in an acid-free portfolio or a book box and transferred to the locked stack for protection.

PHOTOCOPY

See attachment

MICROCOPY

See attachment

RESTORE

For material of great scarcity or value, restoration by a conservator may be chosen.

PHASED DETERIORATION

Occasionally material will returned to the stacks to be kept as long as it is able to be used, and then will be discarded. It is marked as such on the verso of the title page.

Preservation Photocopy

General Statement

The photocopying of materials has been common for many years. It has only been in the last eight to ten years, however, with the great improvements in technology of the photocopying process, that permanent copy could be expected. Now the quality is such that the Xerox Research Facility states that the permanence of the Xerox process is affected only by the permanence and durability of the paper used. Thus a photocopying process can be employed, if suitable, as an alternative in replacing materials for preservation.

Standards

There are no national standards set for preservation photocopying. There are obvious guidelines for quality which can be established locally. A permanent/durable paper of a medium weight is essential. The paper must be acid-free with a buffer added to help prevent deterioration. The photocopy machine must be well maintained so it will operate optimally to produce good contrast and clear reproductions. Proper binding will help effect a copy more permanent than the original.

Definition

Preservation hard copy is a photocopy made to preserve the contents of material in immediate danger of being lost, usually to brittle paper. The photocopy is made from the original material or from the copy held by the Stanford Libraries. The hard copy is bound and returned to the stack for use.

Guidelines

Selection for preservation hard copy is made at the Stanford Libraries by the bibliographers in conjunction with the Conservation Office. Material suspected of being brittle is checked out to CON as a location. If the material is in fact brittle, the title is searched in the Stanford catalog to determine if Stanford holds other copies or editions. It is also searched in the various in-print, out-of-print, reprint, and microfilm catalogs. All information is made available ot the bibliographer to aid his/her decision. After searching, preservation hard copy is considered as one of the alternatives for replacing material.

There are some guidelines to help determine the suitability of material for preservation photocopy:

1. If a volume is part of a set, replacement with hard copy is appropriate.
2. If the item is a high-use one, hard copy is preferable.
3. Current reference material is appropriate for hard copy.
4. Items requiring reference to extensive notes or graphic materials are suitable for hard copy.
5. Any volume which includes plates or graphic material to be saved is appropriate for photocopying.

Routing

Once photocopying has been chosen as the most appropriate preservation technique, the volume is prepared by the Conservation staff. All missing pages are replaced by copy from another source, or a page is inserted stating that the page is missing. If the item is to be discarded, then it is disbound for copying, as a better image will result. Whenever possible, double-sided copying will be done maintaining the original format and size. After copying, the new material will be checked carefully against the old for error. The new copy will be sent to Binding and Finishing to be bound. Conservation will be notified when the binding is done and the volume has been end-processed. Then the original will be discarded or sent to Gift and Exchange except in unusual circumstances. Conservation will handle Cancel/Transfer procedures.

If there were no changes in size, format, or cataloging, the copy returns to the shelves with no changes made on the catalog card. If changes were indicated, then the copy would be routed by Binding and Finishing according to the Policy and Procedure Manual.

All copyright restrictions are observed.

Preservation Microfilming

General Statement

Preservation microfilming was first undertaken as an official project by the Library of Congress, New York Public Library, and Harvard Libraries in the 1930's. Both 16mm and 35mm black and white, silver halide film were found acceptable for permanence under proper use and storage conditions. 35mm film is preferred, as the resolution and reduction ratio of the image of all sizes of material is best, and is easiest for users to read.

Standards

Clear standards have been set by the American National Standards Institute for the physical quality of the film, its filming and developing. In addition, Library of Congress, the National Micrographics Association, and the American Library Association have set standards regarding collation, targeting, bibliographic information and storage.

Definition

Preservation microfilming is defined as that undertaken to preserve the contents of material in immediate danger of being lost, usually to brittle paper. The film is made from the original text and is not a copy from another microfilm. A preservation master must be stored in a limited access, controlled environment with restrictions placed upon the number of copies which can be made from the original. The Library of Congress limits the use of its masters to one. Most other research libraries place four uses as the upper limit. A preservation master is not a use copy. Preservation masters, according to the National Register of Microform Masters, may only be held by non-profit organizations.

On the other hand, a master microfilm is one made for the express purpose of commercial sales.

Guidelines

Selection for preservation microfilming is made at the Stanford Libraries by the bibliographers in conjunction with the Conservation Office. Items suspected of being brittle are checked out to CON as a location. If the paper is brittle, the material is searched in the Stanford catalog as well as other sources to determine if Stanford holds other copies or editions, if the material is still available on the reprint, open or out-of-print market, or whether it may be purchased as a microfilm somewhere else. Purchase of microfilm indicates Stanford is willing to allow someone else to maintain the preservation master. Cooperative microfilming supports an effort advocated by the Library of Congress, New York Public Library, RLG and ARL. After searching, microfilming is considered as one alternative for replacement of materials.

There are some guidelines to help determine the suitability of the particular volume for microfilming:

1. If the item is unique to Stanford, or if the contents are so important to the Stanford collection and replacement copy would be difficult or impossible to obtain, a preservation master is a safeguard against loss. From this master, copies can be made for use, hard copy can be made on request, and requests from ILL can be handled.

2. If the item is a low-use one, but still important to the collection, microfilming is a good alternative.

3. If they are not high-use materials, serial runs or deteriorating newspaper collections are suitable for microfilming. (In the case of newspapers, microfilming is the only copying alternative available at the present.)

4. If items are deteriorated, little-used, and space is a problem, preservation microfilming is a good alternative.

5. If an item is quite scarce, microfilming is suitable as a contribution to national preservation and bibliographic recording.

Routing

Once microfilming has been chosen as the most appropriate preservation technique, the volume is prepared for the filming by the Conservation Staff. All pages are checked to insure completeness. If any are missing they are obtained as a copy from another source and included as a substitute. If missing text is not available, a note to that effect is included in the appropriate place.

The material is sent to the outside firm which makes all Stanford Library microfilms at the present. They follow ANSI standards as well as Library of Congress standards. The film is inspected for density, clarity and error before it is returned to Stanford. Films are stored in acid-free boxes and marked with appropriate bibliographic information if available. When the film is returned to the library, it is checked in by Conservation staff who then route it.

Preservation masters are sent first along with the use copy to Technical Services according to the routing instructions in the Policy and Procedure Manual. The catalog department prepares bibliographic records for format changes and/or catalogs the uncataloged material. They submit the information to the NRMM. The preservation masters are then sent to Administrative Services who assign a control number, maintain an inventory file, send to controlled storage and handle requests for copies or for a second generation master. The use copy of the microfilm is sent to the Current Periodicals and Microtext Division. The original material is held by the Conservation Office until the microfilming has been completed. Then the original is discarded and sent to Gift and Exchange if possible. In some limited circumstances the original may be saved and sent to Area P in the Locked Stacks. Conservation handles Cancel/Transfer procedures.

All copyright restrictions are observed.

LIBRARY OF CONGRESS

Preservation Reference Service

NATIONAL PRESERVATION PROGRAM OFFICE, LM-G07, LIBRARY OF CONGRESS, WASHINGTON, DC 20540 TELEPHONE (202) 287-1840 TELEX 710 822 0185

Preservation Information Series:
Administration
July 1986

FACT SHEET

Preservation Microfilming at the Library of Congress

The paper in approximately 25% of the books in the Library's general and law collections has deteriorated to the point where it is so weak or brittle that the pages in these books cannot be turned in a normal fashion without breaking. At the present time, microfilming is the only viable method for efficiently preserving the information such volumes contain.

Microfilm is the most permanent medium available to us for preserving brittle materials which might otherwise be lost forever. Silver halide microfilm containing images at a low reduction ratio is archival if it is prepared, filmed, and processed to archival specifications, and if it is stored in the proper environment.

All material whose condition makes it a candidate for transfer to microfilm is first reviewed by appropriate subject specialists. These specialists advise the Preservation Office on the artifactual or intrinsic value of the items under consideration. Based on their recommendations, various approaches to subsequent treatment can be taken. The treatment most often chosen is transfer, or reformatting, to microfilm.

As brittle books are identified for microfilming, they are sent to the Preservation Microfilming Office. There, a search is made to determine if a given volume has been reprinted. If so, a new copy is purchased. If not, it is examined, collated, and recataloged in anticipation of its new microfilm format. It is also prepared for filming, a process that includes cutting the spine off the book to reduce the pages to individual leaves. A master negative is created that is permanently stored in a special vault, and from this negative, reading copies of the film are made. These are sent to the Microfilm Reading Room where they are available to scholars for reading and study.

Books containing illustrative materials that should be preserved in their original format (maps, charts, photographs, or illustrations) are returned to the Preservation Microfilming Office, where specialists separate these items from the text. They are forwarded to one of several divisions for storage, and are available to readers on request. The original book, or what remains of it, and any duplicate copies of the volume, are then sent to the Exchange and Gift Division. The books that are no longer intact because they were cut for filming, are pulped. Volumes that remain intact are made available to other libraries or vendors through the standard operating procedures of the Division.

For more information:
Merrily A. Smith

9-86

Proposed Preservation Program for the University of Michigan Library

The University of Michigan Library has long been aware of the need to establish a preservation program for its more than five million volume research collection. In 1976 a staff committee was appointed by the Director to examine the problem of library materials conservation at the University and to make recommendations for a possible course of action. In order to collect data for its report, the committee distributed a detailed questionnaire that surveyed environmental conditions and storage and handling practices throughout the system. Its final report reviewed the causes of deterioration of library materials, discussed preventive measures and conservation techniques, and summarized the survey results. It was recommended that the Library appoint a Preservation Officer with full authority to design and implement a comprehensive program; establish a conservation unit with support staff; gradually upgrade and expand library housing; reform handling practices through a staff and patron education program; upgrade building and stacks maintenance; improve environmental controls; develop a corps of bibliographic experts trained to make necessary replacement/repair/discard decisions; institute a preservation microfilming program; develop written binding policies; upgrade disaster control systems and write disaster contingency plans; and provide a properly designed building for the Department of Rare Books and Special Collections.

In 1979 detailed procedures were drawn up and funding provided to establish a preservation microfilming program. Unfortunately however, a lack of formal procedures for identifying materials and the pressure of other demands on staff time have prevented the program thus far from developing momentum. In March 1980 a study was made to determine the most appropriate use of possible grant funds intended for preservation activities. Seven problem areas were identified and the cost of dealing with each estimated. In November 1980 planning was begun for the establishment of a Preservation Office. It was decided that Bindery Preparations, Book Repair, and Stacks Binding staff would be transferred to the new unit when it came into existence on July 1, 1981. A job description for the new Preservation Officer was written and approved and a staff member selected to fill the position after completion of a five-month internship at Yale University Library.

This report is a first attempt to outline a preservation program for the University of Michigan Library. It is based on the assumption that no grant funding to establish a sophisticated conservation unit will be forthcoming within the next fiscal year. Because of constraints of time and distance, some of the details in this report are necessarily sketchy; others may well be inaccurate. The objective is to outline possibilities and provide suggestions for future discussion and revision. The report is divided into eight sections corresponding to the eight most important components of a comprehensive preservation program: identification and replacement of deteriorated materials, repair and restoration, housekeeping and handling practices, commercial binding, environmental conditions, staff and patron education, disaster preparedness, and national and regional cooperation. Under each heading, specific actions are suggested. Further details will be worked out once there has been opportunity for discussion of the ideas presented here. The reader is referred to the University Library Preservation Committee's 1977 report for information on the state of the University of Michigan Library's collection and facilities, the causes of the deterioration of library materials, and recommended preventive and restorative measures.

Preliminary Review:

The Preservation Officer will begin her assignment by scheduling visits with each library unit to review the changes or improvements that have occurred since the 1976 survey, discuss individual needs in each of the eight areas mentioned above, and determine whether the procedures proposed in this report would actually meet those needs. A summary of discussions with each of the units will be prepared. Once staffing and budget levels have been decided upon and the Preservation Office has become a physical reality, the Library can begin to examine individual needs and write long range plans for meeting them. A list of special projects that have already been identified is appended.

Identification and Replacement of Deteriorated Books

1. Materials in need of repair or replacement will be identified by circulation department staff at the time patrons attempt to charge them out, when books are returned, and as a result of stacks maintenance. Books that are too deteriorated to withstand further circulation will be restricted to inhouse use and charged to the Preservation Office or Book Repair Unit once the patron has finished using them. Circulation departments will keep temporary records of such materials so that they are not inadvertently returned to the stacks.

2. Deteriorated materials that are not currently being used will be sorted daily into the following categories:

a. Books that meet guidelines established by the Department of Rare Books and Special Collections or divisional library special collections will be sent to those units to be considered for transfer.

b. Books on good paper with adequate margins and sewing still intact will be sent to the Bindery Preparations Unit for commercial rebinding (new case only).

c. Books on good paper but with loose or torn pages, hinges, or spine covers will be sent directly to the Book Repair Unit.

c. Books with missing or mutilated pages that are in otherwise good condition will be charged to the Preservation Office. Replacement pages (obtained either from other copies in the in the library system or through interlibrary loan) will be photocopied on archival quality paper and sent with the volumes to the Book Repair Unit to be tipped in.

e. Books on brittle paper or those in need of major repairs will be charged to the Preservation Office. Catalogs, stacks and bibliographies will be searched by Preservation Office staff to determine the existence and condition of other copies or editions of the title within the library and the availability and cost of various replacement options. (Sample search forms are included in the appendices.) The books accompanied by relevant search information will be forwarded to the appropriate selector for a PROMPT decision. The Preservation Officer will offer guidance and monitor decisions to ensure that guidelines for repair/replacement decisionmaking are applied consistently.

If the decision is to order a commercial reprint, the book will be stamped "Fragile - Do Not Circulate" and returned to the stacks. Once the replacement arrives, the fragile copy will be withdrawn unless the selector has specified that it be sent to storage or if inspection shows that the reprint is not an exact duplicate or that all illustrations have not been satisfactorily reproduced. Acidity levels in the paper of all new reprints will be routinely checked upon receipt.

Books to be microfilmed will be batched in groups of 6-10 depending on their length and sent to the Library's Photoduplication Service along with the appropriate order forms. Preservation Office staff will collate the materials and prepare the necessary bibliographic targets. The original copy of the order form will be sent to the Microform Acquisitions Unit. The book and both positive and negative copies of the film will be returned to the Preservation Office for inspection. Negatives will be stamped "Preservation Master - Not for Reading Purposes" and both film copies will be sent to Microform Acquisitions for processing. Master negatives will be reported to the *National Register of Microform Masters* and RLIN. Unless the selector has specified that it be sent to storage, the original volume will be withdrawn.

An environmentally controlled and fireproofed vault for microfilm masters should be established. Technical Services staff are needed to change catalog records to indicate the new format of filmed volumes.

Books to be photocopied on archival quality paper will normally be disbound, photocopied and collated by Preservation

Office staff and sent to the Bindery Preparations Unit for commercial binding. Bound photocopies will be sent to the Cataloging Department so that the appropriate records can be changed. The original volumes will be withdrawn unless designated for storage by the selector.

If the selector has recommended that the book be discarded without replacement, it will be sent by the Preservation Office for withdrawal.

Until such time as the Library has a fully equipped conservation unit, books determined to be of intrinsic value in their original format that require major repairs will be sent to the Book Repair Unit to be provided with some form of temporary protection (box, portfolio, or wraparound). A record of these items will be retained by the Preservation Office for future reference. The books in their protective enclosures will be returned to the stacks and designated noncirculating.

A limited number of rare or otherwise very valuable books will be sent for restoration either by Jim Craven at the Bentley Library or a reputable outside conservator. Since such work can be very expensive and funds are limited, restoration decisions will be made by unit heads with the advice of the Preservation Officer. Materials from the Department of Rare Books and Special Collections will continue to be sent to Mr. Craven at the discretion of the RBR staff.

Newly received deteriorated books that are sent to the Preservation Office by acquisitions staff will be handled according to the routines outlined above. Once the selector's decision has been processed, the original order form, a copy of the decision form,and the replacement film or reprint order will be returned to the Acquisitions Unit. The original volume will be withdrawn once the replacement has been received.

Selectors may decide that some books that do not warrant the expense of replacement should nonetheless be retained in the collection for as long as possible. If their paper is not too brittle and the physical damage not extensive, they may be sent to the Book Repair Unit for recasing, wraparounds, or minor repairs.

Repair and Restoration Work

Until the Library can establish a fully equipped and staffed conservation studio, a limited amount of repair and restoration work will be performed by the present Book Repair unit. Services will include recasing and resewing of nonrare volumes published after 1800 that are unsuitable for commercial binding, leather treatment, construction of boxes, portfolios, and wraparounds, tip-ins, minor page and hinge repairs, nonaqueous deacidification of maps and other flat materials, and mylar encapsulation. Because of the anticipated increase in work and expanded functions of the unit, the current supplies budget for repair should be separated from the binding allocation and increased to $6000/yr. Approximately $10,000 should be designated for new equipment (presses, sewing machine, board shears, fume hood). Once the preservation program is in full operation, a review of staffing levels in the book repair unit should be undertaken.

UNIVERSITY OF PITTSBURGH UNIVERSITY LIBRARIES SYSTEM

BRITTLE BOOKS PROGRAM
PROCEDURE MANUAL

UNIVERSITY LIBRARIES SYSTEM

PRESERVATION PROCEDURES MANUAL

(BRITTLE BOOKS PROGRAM)
HILLMAN LIBRARY

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INTRODUCTION

The University Library System Hillman Library Brittle Books Program began in 1981 shortly after Pat Gladis, Preservation Librarian, returned from an internship in Preservation/ Conservation at Yale University. The program at Pitt was modeled after a similar program at Yale and continues with some modifications. The program deals with those books distressed by use and deteriorating paper. It is particulary a problem in the Social Sciences and Humanities Collections.

Distressed books being returned from circulation are sent to the Preservation Office for diagnosis. These are separated by the trained staff into the various categories. Funds for rebinds are allocated by the Acquisitions Budget Committee for general Hillman binding which includes journals and continuations as well as re-binds. Replacement funds are determined by the individual bibliographers from their general book funds.

After diganosis, books are either sent for re-binding, or to Conservation Repair or placed on bibliographers' shelves for their decisions. The review is in place for a month, after which time books not reviewed are returned to the Preservation Office work area. Books awaiting a decision or shelved in the work area are retrievable should a user request a particular title. These books are used in the library and are returned to the Preservation Office after use.

Books sent for re-binding are 'checked-out' through the circulation system with the circ date being the date the binder actually picks up the shipment. Books sent to Conservation Repair are also 'checked-out' through the circulation system. These are organized in Conservation Repair for easy retrieval should it be necessary before repairs are completed.

After 'treatment', the materials are returned to the stacks.

December, 1986

CHARGING to PRESERVATION

Books in the PRESERVATION OFFICE must be charged. This should be done at the third floor page station. Use the cartridge marked "Preservation" and the IBM charge card in the pocket of the book. If the book does not have an IBM card, prepare a circ card and give it the Lending Desk staff. Do not charge books that are "red stringed". These are non-circulating titles.

DIAGNOSIS

Distressed books sent to the Preservation Office are sorted by the Preservation Librarian and the trained assistants into the several categories: mendable
rebindable
irreparable

Evaluations are based on the staff's knowledge of book binding and tests of paper strength such as a corner fold until breakage. Books and pamphlets that are mendable are dispatched to the Conservation Repair Unit where a trained staff applies the preferred treatment. Books that are rebindable are prepared for the commercial binder; irreparable books are searched and placed on bibliographers' shelves for a decision.

PREPARING for BINDING

Books for the bindery are placed on a book cart and sent to the Bindery Preparation Unit. The choice of commercial binder is determined by the Preservation Office. Any special instructions are noted on a slip. The Bindery Preparation staff follows the routines established, checking the binder profile to make certain that the "special instructions" are not already a part of the profile. (See Bindery Preparation Unit Manual, March, 1987).

Returns from the bindery are processed acoording to the routines outlined in that Manual. Completed volumes are sent to the stacks for shelving by the page staff.

SEARCHING PROCEDURES

1. Select the books from the "To Be Searched" section in the work area giving preference to those showing recent circulation or containing pink slips. Check the book pocket. If the book is marked "Do Not Circulate", take it to the third floor page station, discharge it, and "tie".

2. Fill out the top part of the SEARCH SHEET for each title:

call number
author
title
editor, if applicable
edition number, if applicable
translator and/or illustrator

If the book is missing pages, mark "Mutilated" in the left margin of the search sheet, noting which pages are missing, cut or torn out. N.B. If the book is part of a works, search the WORKS, not the individual title.

3. Check all search sheets for PQ books against IG's shelf and all other P books against LD-F's shelf. If the title is found there, update the original search sheet and rubber-band the new "arrival" with the original book.

4. Check all search sheets against completed sheets on file in the Preservation Office. If the title has already been searched and reviewed, follow the bibliographer's decision.

5. Take the newly completed SEARCH SHEETS to the shelf list. Fill in any author or title imprint information that could not be ascertained from the book. Check all information on the search sheet and revise it to conform with the shelf list card. Note the number of volumes in a multi-volume set after the imprint date on the search sheet.

In lower section of the search sheet, note each copy that the library holds. If there are no copies, mark "only copy" in the left margin of the search sheet. Under each copy number, note "withdrawn", "lost", etc. as appropriate. Jot down the call numbers of the other editions following the copy numbers. Specify editor, publisher, year, language, as appropriate. Put a check mark beside "SL" on the search sheet.

6. Check the main entry card in the public catalog for each title being searched. If the card is stamped "another copy in

Fine Arts or any other area not represented in the shelf list, add the information to the search sheet, and erase "only copy". Add any other editions of the same title that were not found on the shelf list card. Include identifying information as in #5 above. Put a check mark beside "PC" on the search sheet.

If the title is not in the public catalog, try PITTCAT. If found, follow preceeding paragraph.

7. Check the In-Process file (print-out or on-line). Take down any entries. Place a check mark or "0" beside "IP" on the search sheet.

8. Search BOOKS IN PRINT.

Take down all citations. If numerous, photocopy entry and attach to search sheet.

If only paperbacks are found, go to BRITISH BOOKS IN PRINT.

If the only citation is found for Gordon, Arden, R. West, Darby Books, Folcroft, Century Book Bindery, or any other unfamiliar publisher in Darby or Philadelphia, take down the citation, but continue the search.

Mark "0" beside "BIP" and "BBIP" if appropriate.

Search appropriate national in-print sources. If no citation is found, go on to GUIDE TO REPRINTS, MICROFORMS IN PRINT, SERIALS IN MICROFILM, and BOOKS ON DEMAND.

Place the citation beside the bibliogrpahic tool if found; place "0", if not.

NB: As each new edition of the BIP is issued, all titles awaiting bibliographers' reviews are updated.

9. Search OCLC to deterime if title haas been 'preserved'.

10. If no other copies or editions have been found in the SL or PC search, initial and date the search sheet and photocopy it, if there is a replacement possibility. Place the sheet/sheets in the book and place the book on the "Completed Search Shelf" in the Preservation Office.

11. If there are other copies, volumes, or editions in Hillman (including Special Collections), place the search sheet(s) in the books, put the books on a book cart and check the related volumes for condition.

If a related volume is in the Physics or Chemistry Library. call the library to ascertain the condition of that volume.

If the related volume is not on the shelf, pencil "n.o.s" on the search sheet under the copy number and then check the circulation print-out.

If the book is found there, take down the due date and type of charge. If the book is not found there, mark "CP-O" and check the storage fiche.

Mark search sheet "In Storage" if appropriate. In not in storage, mark search sheet "ST-O".

If related volumes are in poor condition, (e.g., if the hinges are broken, the leaf attachment has failed, the spine is cracked, showing the webbing, or the spine covering is flapping or missing) charge the volumes to Preservation and rubber band them to the original volume. Mark the appropriate volumes "poor, retrieved" on the search sheet. NOTE: if the related volumes in poor condition consist of alarge set (10 or more volues), do not retrieve, but note condition on the search sheet. Do not retireve poor condition "works" when searching a single title.

12. When related volumes are not found in the above steps, set original volume aside with a note to search again in a months time.

13. When a book has not been found on the second search, mark the appropriate copy number, or call number, or volume number,and "not found" on the search sheet.

When a fair or good condition volume is found in a second stack search, note the condition on the search sheet and return the related volume to the stacks.

If the related volume is in poor condition (and is not "red stringed") charge it to Preservation and rubber band it to the original.

When the last related book has been accounted for, proceed to no. 14.

14. Review the search sheet to be sure that it is complete, and initial and date it. Put the search sheet in the book, rubber band the retrieved related materiasl, if any, and place the book on the "completed search" shelf in the Preservastion Office.

15. The 'Preservation Officer will review the searches for completeness, and distribute them to the appropriate bibliographers' shelves.

IMPLEMENTING BIBLIOGRAPHERS' DECISIONS

1. Sort the books into piles:
    - DISCARD
    - TIE
    - REPLACEMENT
    - STORAGE
    - TRANSFERS

Make certain bibliographer has signed the search sheet as well as marked a decision.

2. DECISIONS

DISCARDS

Fill out a yellow decision slip, marking the "discard" option, sign it with the bibliographer's name per your initials.

Write "discard" on the flag.

Discharge the book from Preservation and place it in the discard shelf in the third floor page station.***** Until NOTIS procedures are in place, retain these books in the Preservation Office.

TIES

Write "TIE" on the flag.

File the search sheet.

Discharge the book from Preservation and place it on the tie shelf in the third floor page station.

REPLACEMENTS

If the bibliographer indicates that he/she is replacing the book, file the search sheet and place book on the fourth floor "awaiting replacement" shelves. These book are shelved by call number.

STORAGE

Discharge the book from Preservation. Write "storage" on the flag. Take the book to the third floor page station.****Until NOTIS procedures are in place, retain these books in the Preservation Office.

TRANSFERS

Occassionally a bibliographer may suggest transferring a title to another collection.

Do not discharge the book. Offer the book to the collection. If the book is acceepted, discharge the book, charge it to collection and file the search sheet.

CHECKING IN REPLACEMENTS

1. Stop at the ground floor lending desk and pick up the Preservation replacement books. These have been sent here from the end process/key-punch areas.

2. Pull the search sheet and find the original volume on the "awaiting replacement" shelves. If you have difficulty in finding the search sheet or the original volume, check the BRF files to ascertain the call number. (See BRFs below).

3. Compare the original volume with the replacement.

If the replacement is inappropriate, e.g., if it is another copy of the original embrittled edition, an abridgement, another title, or in poor condition itself, take it to the order section and attempt to get it returned.

If the replacement is adequate,mark the search sheet "Rec'd: date O.K." and shelve the replacement in the stacks.

4. Check the search sheet:

If the bibliographer has not specified retention of the original, discharge it from Preservation. If the book does not contain a yellowo decision slip, make one out, sign bibliographer's name per your initials. Place the book on the discard shelf with the other discards in the Preservation Office.

Refile the search sheet.

BRFs

1. When the white part of the BRF arrives, check the search sheets to see if the replacement is recorded as being received, on the search sheet. If the replacement has not been received, put the BRF aside and check again in a few days.

2. When the replacement is received, file the BRF with the white "orders received" and discard the pink BRF from the "Book Orders" file.

EFFECTIVE 1/87: Bibliographers will place replacement orders directly. No BRFs will be sent to the Preservation Office. The BRF will indicate that the title is being ordered for Preservation replacement and when it arrives, it will be processed and place at the lending desk for Preservation to pick up.

CANCELLED ORDERS

1. When BRFs arrived marked "Cancelled" or when a biblographer notifies the Preservation Office of a cancellation, locate the search sheet and the original volume from the "awaiting replacement" shelf.

2. Mark "cancelled:date:o.p." on the search sheet. Determine what addditional searching will be necessary before re-submitting the book to the bibliographer. Updating the BIP information is almost always necessary.

RETRIEVING PRESERVATION MATERIALS FOR PATRONS/RESERVE BOOK COLLECTION

1. Always give priority to requests for Preservation materials.

2. Fill out the request form. Use the old circ request forms. Fill in call number, author, title. Check the various work areas. If the book cannot be found quickly, take requestor's name and a phone number where he can be reached.

3. Check the circulation print-out for the date of the charge to Preservation. A recent date suggests that the book may be found on the incoming shelves, bindery shelves, the "To be searched" shelves or the "awaiting replacement".

4. Check the completed search sheets to see if the sheet gives any clue as to the book's location.

5. Do not give up the search until you have checked rhe current bindery cards in the Binding Office. If found here, clip a note to the record to "Please rush to Preservation Office for patron".

6. A book found for patron must be used in the Library. Hold patron ID until book is returned to the Preservation Office. Return book to area where located.

7. Books retireved for the Reserve Collection, the book is discharged from Preservation and sent to the Lending Desk with a note in the book pocket to "Return book' to Preservation" after use. If the book contains a search sheet, note "discharged for Reserve use":date on the sheet and file it with the other completed sheets. These sheets will be pulled when the book is returned to the Preservation Office. A search request form is prepared for each request. See above. RBR becomes the "patron".

8. All request forms are retained and counted for inclusion in the monthly statistics.

DISCHARGING BOOKS FROM PRESERVATION

Books being discarded, tied, or transferred must first be discharged from Preservation. Turn the printer on. If the system is down, the machine will not print and rhe discharge will not be recorded. Try again another time. If system is up, use discharge cartridge and discharge the book. Return to proper destination.

SEARCH SHEET

CALL NUMBER

AUTHOR

TITLE

SL
PC
IP
BIP
BBIP
VLB
CBIP
LLD
BOD
GTR
MIP
SIM
IBIP

Searcher/Date

BIBLIOGRAPHER'S DECISION

☐ I will replace.

☐ Transfer to storage.

☐ Offer to spec. Coll. / Reason:

☐ Discard without replacement.

☐ Tie and return to stacks.

  ☐ In-house photocopy replacement would be desirable.

  ☐ Contract microfilm replacement would be desirable.

Bibliographer/Date ______________________________

1926

Selected Reading List

OFFICE OF MANAGEMENT STUDIES

ASSOCIATION OF RESEARCH LIBRARIES 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • (202) 232-8656

SELECTED READING LIST

Atkinson, Ross W. "Selection for Preservation: A Materialistic Approach," Library resources in Technical Services. (Oct./Dec. 1986): v.30.

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